AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
MULLEN, GRAHAM C.	WESTERN DISTRICT OF N.C.	09/24/2024
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. DISTRICT JUDGE - SENIOR	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
401 WEST TRADE STREET SUITE 7300 CHARLOTTE, NC 28202		

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Honorary Life Member	Duke University Law School Board of Visitors
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	American Express	Gold Card	J
2.	Barclay Card	MasterCard	J
3.			
4.			
5.			

Name of Person Reporting	Date of Report
MULLEN, GRAHAM C.	09/24/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. Truist Bank (Bank Accounts)	B	Interest	K	T					
2. NORTHWESTERN MUTUAL BROKERAGE cash account 1	B	Interest	J	T					
3. NORTHWESTERN MUTUAL BROKERAGE cash account 2	A	Interest	K	T					
4. American Express Savings	B	Interest	K	T					
5. CEF	A	Dividend	K	T					
6.									
7. Intel Corp.	A	Dividend	J	T					
8.									
9. Merck & Co.	A	Dividend	J	T					
10.									
11. Proctor & Gamble	A	Dividend	J	T					
12.									
13. Apple	A	Dividend	J	T					
14.									
15. Amazon		None	K	T					
16.									
17. Goldman Sachs Rising Div	C	Int./Div.	J	T					

1. Income Gain Codes: (See Columns B1 and D4) A =$1,000 or less; B =$1,001 - $2,500; C =$2,501 - $5,000; D =$5,001 - $15,000; E =$15,001 - $50,000; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
2. Value Codes (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; N =$250,001 - $500,000; O =$500,001 - $1,000,000; P1 =$1,000,001 - $5,000,000; P2 =$5,000,001 - $25,000,000; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
3. Value Method Codes (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.									
19. IRA (H)									
20. -America Bal. Fund	A	Dividend	J	T					
21.									
22. NORTHWESTERN MUTUAL (NML) INSURANCE POLICIES (H)									
23. -- NML Whole Life Policy 1	A	Dividend	K	T					
24. -- NML Whole Life Policy 2	B	Dividend	K	T					
25. -- NML Whole Life Policy 3	B	Dividend	K	T					
26. -- NML Whole Life Policy 4	B	Dividend	K	T					
27. -- NML Extraordinary Life Policy 5	B	Dividend	K	T					
28. -- NML Adjustable Comp Policy 6	D	Dividend	M	T					
29. -- NML 65 Life Policy 7	A	Dividend	J	T					
30. -- NML 65 Life Policy 8	A	Dividend	J	T					
31. -- NML Whole Life Policy 9	A	Dividend	J	T					
32. -- NML Whole Life Policy 10	A	Dividend	J	T					
33.									
34.									

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3. Value Method Codes (See Column C2)
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☐ NONE *(No reportable income, assets, or transactions.)*

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35.									
36. Cousins Properties	A	Dividend	J	T					
37. CF Industries	A	Dividend	J	T					
38.									
39.									
40. Cresent Energy	A	Dividend	J	T					
41.									
42. Freeport McMoran	A	Dividend	K	T					
43.									
44. Sonoma Pharmaceuticals		None	J	T					
45.									
46. Wheaton Precious Metals	A	Dividend	J	T					
47.									
48. Shopify		None	K	T					
49.									
50. iShares Core Int's Stock ETF	A	Dividend	J	T					
51.									

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52. Financial Select SPDR Fund	A	Dividend	J	T					
53.									
54. iShares Core Total US Stock	A	Dividend	J	T					
55. Apple	A	Dividend	J	T					
56. Johnson & Johnson	A	Int./Div.	J	T					
57. Workhorse		None			Sold	04/27/23	J		
58.									
59.									
60.									
61.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

EXPLANATION OF LINE ITEMS CONTAINED IN PART VII.

Line 20:This is the correct name for the fund reported on Line 21 on 2022 report.

Self-initiated amendment to 2022 report:
Line 21: should read: American Balanced Fund, Column B(2) should read "None"; Column C(1) should read "J"; Column C(2) should read"T"; Column D(1) should read "Buy"; Column D(2) should read 12/22/22; Column D(3) should read "J"
This fund is the result of selling all the funds reported as IRA assets and consolidated into a single asset. Value code change reflects incorrect value on last report.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: S/ GRAHAM C. MULLEN

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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