

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Mashburn, Randal S.	2. Court or Organization Bankruptcy Court - Middle District - Tennessee	3. Date of Report 10/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge (Full-Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 220 Customs House 701 Broadway Nashville, TN 37203		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Educational Trust (terminated during 2015)
2.	Director	Nashville Bar Association (non-profit organization)
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***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 AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Tennessee Bar Association	04/17/15 to 04/19/15	Gatlinburg, TN	Participate in panel of judges speaking at bar association seminar on bankruptcy.	Transportation, food and lodging.
2. Turnaround Management Association	05/27/15 to 05/30/15	Palm Coast, FL	Participate in panel of judges speaking at professional organization program.	Transportation, food and lodging
3. National Conference of Bankruptcy Judges	09/26/15 to 09/30/15	Miami, FL	Attendance at meetings/seminars at annual conference of bankruptcy judges.	Portion of lodging.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. BANK ACCOUNTS (H) -- Lines 2-9									
2. -Bank of America (Accounts/CDs)	A	Interest	L	T					
3. -Bank of Nashville (Accounts/CDs)		None	L	T	Open	02/03/15	L		
4. -Civic Bank & Trust (Accounts/CDs)	C	Interest	N	T					
5. -Community First Bank & Trust (Accounts/CDs)	B	Interest	M	T					
6. -Pinnacle National Bank (Accounts/CDs)	A	Interest	M	T					
7. -First Citizens National Bank (Accounts/CDs)	A	Interest			Closed	11/10/15	L		
8. -Insbank (Accounts/CDs)	D	Interest	N	T					
9. -Legends Bank (Accounts/CDs)	B	Interest	M	T					
10. BROKERAGE ACCT (H) -- Items 11 to 46 below									
11. -America Movil S.A.B. De C.V. (Common Stock)	A	Dividend	J	T					
12. -Apple Inc. (Common Stock)	A	Dividend	K	T	Buy	09/21/15	K		
13. -EOG Resources (Common Stock)	A	Dividend			Sold	12/11/15	J		
14. -EQT Corp (Common Stock)	A	Dividend	J	T					
15. -Express Scripts Holding Co. (Common Stock)		None	J	T					
16. -Exxon Mobil Corp. (Common Stock)	A	Dividend	K	T					
17. -Freeport-McMoran (Common Stock)	A	Dividend			Sold	09/21/15	J		

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

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18. -Genuine Parts Co. (Common Stock)	A	Dividend	J	T					
19. -Microsoft Corp. (Common Stock)	A	Dividend	K	T					
20. -Pepsico Inc. (Common Stock)	A	Dividend	K	T					
21. -Pfizer Inc. (Common Stock)	A	Dividend	J	T					
22. -Rackspace Hosting Inc. (Common Stock)		None	J	T					
23. -Verizon Communications Inc. (Common Stock)	A	Dividend	J	T					
24. -Walmart de Mexico S.A.B. de CV (Common Stock)	A	Dividend	J	T					
25. -Walmart Stores Inc. (Common Stock)	A	Dividend			Sold	09/21/15	K	D	
26. -Walgreen Co. (Common Stock)	A	Dividend	J	T					
27. -Alger Spectra Fund Class C (Mutual Fund)	D	Distribution	L	T					
28. -American Funds Euro Pacific Growth Fun (Mutual Fund)	B	Dividend	K	T					
29. -FT-Franklin Federal Fund (Mutual Fund)	B	Dividend	L	T					
30. -Vertus Global Multi Sector (Common Stock)	B	Dividend	J	T					
31. -Metro Govt. Nashville/Davidson Bonds #1 (Govt. Bonds)	B	Interest	L	T					
32. -Metro Govt. Nashville/Davidson Bonds #2 (Govt. Bonds)	B	Interest	K	T					
33. -Blount County Tenn. Public Bonds (Govt. Bonds)	B	Interest	L	T					
34. -State of Texas Bonds #1 (Govt. Bonds)	B	Interest	L	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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		C. Gross value at end of reporting period		D. Transactions during reporting period				
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35. -Hamilton County Tenn. Bonds (Govt. Bonds)	A	Interest	K	T					
36. -Texas State Trans/Comm Bonds (Govt. Bonds)	B	Interest	K	T					
37. -State of Texas Bonds #2 (Govt. Bonds)	B	Interest	K	T					
38. -Metro Govt. Nashville/Davidson Bonds #3 (Govt. Bonds)	B	Interest	L	T					
39. -Knoxville Tenn. Waste Water Bonds (Govt. Bonds)	A	Interest			Redeemed	05/05/15	J		
40. -New York Municipal Water Fin. Auth. (Govt. Bonds)	B	Interest	K	T					
41. -Tennessee State Bonds SR (Govt. Bonds)	B	Interest	K	T					
42. -Tennessee State School Bonds #1 (Govt. Bonds)	B	Interest	L	T					
43. -Tennessee State School Bonds #2 (Govt. Bonds)	B	Interest	K	T					
44. -Texas A&M Univ. (Govt. Bonds)	B	Interest	K	T					
45. -Memphis Airport Bonds (Govt. Bonds)	B	Interest	K	T					
46. -UBS Money Market Account	A	Interest	J	T					
47. ROTH IRA (H) #1 -- Lines 48-60									
48. - Nationwide Dest. All Am Gold Annuity (Variable) (%s on lines 49-50)		None	M	T					
49. -- NW AMFDS NVIT AsstAlloc. II -- 50.7%									
50. -- NW NVIT Inv. Dest. Mod II - 49.3%									
51. - Ohio National Oncore Value Annuity (Variable) (%s on lines 52-59)		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -- Franklin Founding Funds Allocation VIP - 24.9%									
53. -- Ivy Funds VIP Asset Strategy - 24.9%									
54. -- PIMCO Total Return Portfolio - 15.1%									
55. -- Bond Portfolio Ohio Natl - 15%									
56. -- JP Morgan Ins. Trust Mid Cap Value - 5.1%									
57. -- Ivy Funds VIP Science and Tech - 5%									
58. -- Small Cap Growth Portfolio-Janus - 5%									
59. -- Janus Aspen Series Overseas Portfolio - 4.9%									
60. - First Eagle Global Fund (Mutual Fund)	A	Dividend	K	T					
61. ROTH IRA (H) #2 -- Lines 62-78									
62. - Genworth Retireready Annuity (Variable) (%s shown lines 63-64)		None	M	T					
63. -- Blk Global Allocation V.I -- 50%									
64. -- GEI Total Return - Class 3 - 50%									
65. - Nationwide Dest. All Am Gold Annuity (Variable) (%s on lines 66-67)		None	M	T					
66. -- NW AMFDS NVIT AsstAlloc. II -- 50.7%									
67. -- NW NVIT Inv. Dest. Mod II - 49.3%									
68. - Ohio National Oncore Value Annuity (Variable) (%s on lines 69-76)		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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69. -- Franklin Founding Funds Allocation VIP - 24.9%									
70. -- Ivy Funds VIP Asset Strategy - 24.9%									
71. -- PIMCO Total Return Portfolio - 15.1%									
72. -- Bond Portfolio Ohio Natl - 15%									
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74. -- Ivy Funds VIP Science and Tech - 5%									
75. -- Small Cap Growth Portfolio-Janus - 5%									
76. -- Janus Aspen Series Overseas Portfolio - 4.9%									
77. - First Eagle Global Fund (Mutual Fund)	A	Dividend	K	T					
78. - American Funds New Perspective (Mutual Fund)	A	Dividend	J	T					
79. EDUCATIONAL TRUST (H) -- Lines 58-64									
80. - Alger Spectra Fund		None			Sold	07/17/15	J	A	
81. - American Funds Euro Pacific Growth Fund		None			Sold	07/17/15	J	A	
82. - FT Templeton Global Bond Fund	A	Dividend			Sold	07/17/15	J		
83. - American Funds Income Fund of America		None			Sold	07/17/15	J		
84. - Blackrock Health Science Opportunities Fund		None			Sold	07/17/15	J	A	
85. - Lord Abbett Short Duration Income Fund	A	Dividend			Sold	07/17/15	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. - Natixis Vaughn Nelson Value Fund	A	Dividend			Sold	07/17/15	J	A	
87. 529 COLLEGE FUND #1(H) -- Lines 66-69									
88. - Growth Fund of America	B	Dividend	K	T					
89. - Bond Fund of America	A	Dividend	J	T					
90. - American Balanced Fund	A	Dividend	J	T					
91. - Capital Income Builder Fund	A	Dividend	J	T					
92. 529 COLLEGE FUND #2 (H) -- Lines 71-74									
93. - Growth Fund of America	A	Dividend	J	T	Sold (part)	07/20/15	J	B	
94. - Bond Fund of America	A	Dividend	J	T	Sold (part)	07/20/15	J	A	
95. - American Balanced Fund	A	Dividend	J	T	Sold (part)	07/20/15	J	B	
96. - Capital Income Builder Fund	A	Dividend	J	T	Sold (part)	07/20/15	J	A	
97. NORTHWESTERN BROKERAGE ACCT (H) Lines 76-81									
98. -Northwestern Mutual Single Premium Whole Life Insurance Policy	A	Dividend	J	T					
99. -Northwestern Mutual General Money Market Fund CI B	B	Int./Div.	J	T					
100. -EuroPacific Growth Fund	A	Dividend	J	T					
101. -Tax-Exempt Bond Fund of America	A	Dividend	J	T					
102. -Localshares Nashville Area ETF	A	Dividend	J	T					

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103. -Vanguard Index Funds	A	Dividend	J	T					
104. IRA #1 -- UBS (prior 401k) (H) -- Lines 83-98									
105. - Pace Money Market Investment Fund	A	Dividend	J	T					
106. - Alger Spectra Fund Class A	D	Dividend	L	T					
107. - Calamas Convertible Fund	A	Dividend			Sold	09/21/15	K		
108. - Columbia Acorn Fund	A	Dividend			Sold	09/21/15	J		
109. -Columbia Convertible Securities Fund	B	Dividend	K	T	Buy	09/21/15	K		
110. -Delaware Value Fund	B	Dividend	L	T	Buy	09/21/15	L		
111. - First Eagle Overseas Fund Class A	B	Dividend	L	T					
112. - Voya Global Real Estate Fund	A	Dividend	K	T					
113. - Loomis Sayles Bond Fund Class Retail	C	Dividend	L	T					
114. - Lord Abnett Short Duration Income Fund Class A	A	Dividend	L	T					
115. - Natixis Vaughan Nelson Value Opp Fund	A	Dividend	K	T	Buy	09/21/15	K		
116. - Oppenheimer Intl Bond Fund Class A	A	Dividend	K	T					
117. - Principal Preferred Securities Fund	A	Dividend	J	T	Buy	09/21/15	J		
118. - TCW Emerging Markets Income Fund Class N	A	Dividend			Sold	09/21/15	K		
119. - Blackrock Global Allocation Fund Inc A	D	Dividend	L	T					

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

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ 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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. - Mainstay Marketfield Fund		None	K	T					
121. IRA #2 -- UBS (prior 401k) (H) -- Lines 100-108									
122. - UBS Bank USA Deposit Account	A	Interest	J	T					
123. - Berkshire Hathaway Inc New CL B (Common Stock)		None	L	T					
124. - ConocoPhillips B/E Bonds	B	Interest	K	T					
125. - United Parcel Service DPB Inc B/E Bonds	B	Interest	K	T					
126. - Duke Energy Carolina Bonds	B	Interest	K	T					
127. - Coca Cola Co. Com NTS B/E Bonds	A	Interest	K	T					
128. - Anheuser-Busch Inbev WDR Bonds	A	Interest	K	T					
129. - Verizon Communications Bonds	A	Interest	K	T					
130. - Virtus Multi-Sector Short Term Bond Fund - Class C	C	Dividend	M	T					
131. OTHER MISC. INVESTMENTS (H) Lines 110-111									
132. -Maury County TN Farm	D	Rent	O	W					
133. -Center Hill Lake TN Undeveloped Real Estate		None	M	W					

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

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

sNote 1: In prior years, some of the government bonds were identified with brokerage numbers. Based on comments to last year's disclosure, some of the bond descriptions have been changed to leave off the brokerage numbers and the bonds are instead identified with #1, #2, etc. where there are multiple bonds for the same government entity (such as Metro Govt. Nashville/Davidson Bonds #1, #2 & #3). However, with the exception of the Knoxville, TN Waste Water bonds which were redeemed as reflected in the disclosure, the government bonds have not changed since last year.

Note 2: Regarding lines 47 thru 78: As requested by the Committee by letter, additional information has been provided in the amended financial disclosure regarding these annuities. (These are not new annuities or new investments, but rather simply reflect details about the annuities as requested by the Committee.) However, it should be noted that the end-of-year reporting received by the filer reflects the gross values of each annuity -- not the individual amounts held in any particular investment. Instead, the information available to filer from the investment advisor shows the percentages of each investment making up each annuity. Therefore those percentages have been reported on the lines immediately below each annuity. Since the end-of-year information is limited to the gross values and imputed gross gain or loss for the annuity as a whole, the lines under columns B and C have been left blank for the investment components of the annuity, while the lines next to the overall annuity have been filled in with the appropriate cumulative information about the respective annuity's value, etc. based on the information year-end provided to the filer. It should also be noted that each annuity showed an overall loss in value during the reporting year, resulting in "None" being shown in Column B(2) regarding any income or gain from these annuities.

Note 3: Regarding line 98, the item had been listed as a single premium insurance/annuity, which prompted an inquiry from the committee. Upon further review of the policy it is not an annuity but rather a single premium whole life policy with a guaranteed death benefit and guaranteed cash surrender value. It is eligible for annual dividends based on performance of the insurance company and that increase the death benefit and cash surrender value. The policy holder has no ability to be involved in any investment decisions that might affect dividends.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Randal S. Mashburn**

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. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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