

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) Bauknight, Suzanne H.	2. Court or Organization U.S. Bankruptcy Court, Eastern District of Tennessee	3. Date of Report 05/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Bankruptcy Judge	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 800 Market Street, Suite 330 Knoxville, TN 37902		
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. Employee (adjunct professor)	University of Tennessee College of Law, Knoxville, TN
2. Officer (President (1/15 - 6/15) and Immediate Past President (7/15 - 5/16)	Hamilton Burnett American Inn of Court, Knoxville, TN
3. Chair, Administrative Board	Powell United Methodist Church, Powell, TN
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 11/2015	University of Tennessee College of Law - teaching	\$3,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	Knoxville Leadership Foundation
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Mid-South Commercial Law Institute	12/2/15 - 12/4/15	Nashville, TN	Seminar	Lodging, meals, tuition
2. Tennessee Bar Association	4/17/15 - 4/19/15	Gatlinburg, TN	Seminar	Lodging, meals, transportation
3.				
4.				
5.				

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

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.)*CREDITORDESCRIPTIONVALUE CODE

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. LPL Financial ROTH IRA (H)									
2. -Cash - Goldman Sachs	A	Interest	J	T					
3. -PIMCO Income Cl A	A	Dividend	J	T	Sold (part)	09/01/15	J	A	
4. -Ishares Core S&P Total US Stock Market EFT	A	Dividend	J	T					
5. -Franklin Federal Tax Free Income Cl A	A	Dividend	J	T	Sold (part)	09/01/15	J	A	
6. -Oppenheimer Cap Income Cl A	A	Dividend	J	T	Sold (part)	09/01/15	J	A	
7. -Oppenheimer Intl Diversified Cl A	A	Dividend	J	T					
8. -Prudential Real Assets Cl A	A	Dividend	J	T	Buy	09/02/15	J		
9. LPL Financial ROTH IRA (H)									
10. -Cash - Goldman Sachs	A	Interest	J	T					
11. -PIMCO Income Cl A Ponax	A	Dividend			Sold	05/07/15	J	A	
12. -Ishares Core S&P Total US Stock Market ETF	A	Dividend	J	T	Sold (part)	05/07/15	J	A	
13. -Franklin Federal Tax Free Income Cl A	A	Dividend			Sold	05/07/15	J	A	
14. -Oppenheimer Cap Income Cl A	A	Dividend			Sold	05/07/15	J	A	
15. -Oppenheimer Int'l Diversified Cl A	A	Dividend			Sold	05/07/15	J	A	
16. -Prudential Real Assets Cl A	A	Dividend			Sold	05/07/15	J	A	
17. -Blackrock Strategic Income Oppty Investors Cl A	A	Dividend	J	T	Buy	05/07/15	J		

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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	(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)

18. -Pimco All Asset All Authority CL A	A	Dividend	J	T	Buy	05/08/15	J		
19. Holston Methodist Fed'l CU (Cash) (Y)									
20. 529 College: Rhode Island Hi Ed SVG CBF Age Aggressive Growth	A	Dividend	J	T					
21. LPL Financial Trad'l IRA (H)									
22. -Cash - Goldman Sachs	A	Interest	J	T					
23. -Oppenheimer Developing Markets Cl A	A	Dividend	J	T	Buy (add'l)	08/31/15	J		
24. -John Hancock Disciplined Val Mid Cap Cl A	A	Dividend	J	T	Sold (part)	08/31/15	J	A	
25. -PIMCO Income Cl A	A	Int./Div.	J	T	Buy (add'l)	05/04/15	J		
26.					Sold (part)	08/24/15	J	A	
27.					Buy (add'l)	08/31/15	J		
28. -Prudential Global Real Estate Cl A	A	Dividend	J	T	Sold (part)	08/31/15	J	A	
29. -Ishares Russell Mid Cap Growth ETF (IWP)	A	Dividend	J	T					
30. Ishares Russell 1000 Growth EFT (IWF)	A	Dividend			Buy	06/22/15	J		
31.					Buy (add'l)	08/31/15	J		
32.					Sold	12/30/15	J	A	
33. -Invesco Interim Term Mun Income Cl A	A	Dividend	J	T	Buy (add'l)	05/04/15	J		
34.					Sold (part)	08/24/15	J	A	

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	
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	(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)

35.					Buy (add'l)	08/31/15	J		
36.	-Blackrock Global Long Short Credit Investor Cl A	A	Interest	J	T	Sold (part)	08/31/15	J	A
37.	-Eaton Vance National Mun Income Cl A	A	Dividend	J	T	Buy (add'l)	05/04/15	J	
38.					Sold (part)	08/24/15	J	A	
39.					Buy (add'l)	08/31/15	J		
40.	-Goldman Sachs Rising Dividend Growth Cl A	A	Dividend			Sold	06/10/15	J	A
41.	-JPMorgan Intrepid Value Cl A	A	Int./Div.	J	T	Sold (part)	08/31/15	J	A
42.					Sold (part)	12/30/15	J	A	
43.	-Lord Abbett Short Duration Income Cl A	A	Dividend	J	T	Sold (part)	05/04/15	J	A
44.					Sold (part)	08/24/15	J	A	
45.	-Oppenheimer Senior Floating Rate Cl A	A	Dividend	J	T	Sold (part)	05/04/15	J	A
46.					Sold (part)	08/21/15	J	A	
47.	-Oppenheimer Int'l Growth Cl A	A	Dividend	J	T	Sold (part)	08/31/15	J	A
48.	-Prudential World Jennison Global Infra Cl A	A	Dividend	J	T	Buy (add'l)	08/31/15	J	
49.	-Prudential Invt 18 Jennison MLP Cl A	A	Dividend	J	T	Buy (add'l)	08/31/15	J	
50.	-Vanguard Long Term Investment Grade Admiral Cl	A	Dividend			Sold	07/14/15	J	A
51.	-Pimco All Asset All Authority Cl A	A	Dividend	J	T	Sold (part)	05/04/15	J	

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52.					Sold (part)	08/24/15	J	A	
53.					Buy (add'l)	08/31/15	J		
54. -Natixis Asg Global Alternatives		None	J	T	Buy	08/24/15	J		
55.					Buy (add'l)	08/31/15	J		
56.					Buy (add'l)	09/01/15	J		
57.					Sold (part)	09/01/15	J	A	
58. -Mainstay High Yield Corp Bond Cl A	A	Dividend	J	T	Buy	05/04/15	J		
59.					Buy (add'l)	08/24/15	J		
60.					Buy (add'l)	08/31/15	J		
61.					Buy (add'l)	12/30/15	J		
62. -Mainstay Large Cap Growth Cl A		None	J	T	Buy	12/30/15	J		
63. -Ridgeworth SEIX Floating Rate High Income Cl A	A	Dividend	J	T	Buy	08/21/15	J		
64.					Buy (add'l)	08/24/15	J		
65.					Buy (add'l)	08/31/15	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Suzanne H. Bauknight**

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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Washington, D.C. 20544