

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 12/03/2012
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 01/01/2011 to 07/15/2012
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. Insert signature on last page.		

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. Shareholder/Attorney	Baker, Donelson, Bearman, Caldwell & Berkowitz (Law Firm)
2. Trustee	Educational Trust (for family member)
3. Director	Nashville Conflict Resolution Center (non-profit organization)
4. Chapter 11 Bankruptcy Trustee	Court-Appointed Trustee in bankruptcy cases before being appointed judge
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. 2012	Baker, Donelson, Bearman, Caldwell & Berkowitz (former employer/ lawfirm)	\$253,510.00
2. 2011	Baker, Donelson, Bearman, Caldwell & Berkowitz (former employer/ lawfirm)	\$370,376.00
3. 2010	Baker, Donelson, Bearman, Caldwell & Berkowitz (former employer/ lawfirm)	\$292,718.00
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. Exempt				
2.				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
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.	Bank of America	Credit Card (paid in full monthly)	J
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 of America (Accounts/CDs)	A	Interest	M	T	Exempt				
2. Bank of Nashville (Accounts/CDs)	A	Interest							
3. Capital Bank (Accounts/CDs)	B	Interest							
4. Capstar Bank (Accounts/CDs)	D	Interest	N	T					
5. Civic Bank & Trust (Accounts/CDs)	C	Interest	N	T					
6. Community First Bank & Trust (Accounts/CDs)	D	Interest	N	T					
7. Cornerstone Financial (Accounts/CDs)	A	Interest	J	T					
8. Fifth Third Bank (Accounts/CDs)	C	Interest							
9. First Tennessee Bank (Accounts/CDs)	A	Interest							
10. Pinnacle National Bank (Accounts/CDs)	C	Interest	M	T					
11. Regions Bank (Accounts/CDs)	D	Interest	M	T					
12. Reliant Bank (Accounts/CDs)	B	Interest							
13. SunTrust Bank (Accounts/CDs)	C	Interest	M	T					
14. First Farmers & Merchants Bank (Common Stock)	A	Dividend							
15. UBS Brokerage Account (Details Below)									
16. -- America Movil S.A.B. De C.V. (Common Stock)	A	Dividend	K	T					
17. -- BHP Billiton Ltd. (Common Stock)	A	Dividend	J	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	
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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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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18. -- Bank of America (Common Stock)	A	Dividend							
19. -- BP PLC (Common Stock)	A	Dividend	J	T					
20. -- EQT Corp (Common Stock)	A	Dividend	J	T					
21. -- Express Scripts Holding Co. (Common Stock)		None	J	T					
22. -- Exxon Mobil Corp. (Common Stock)	A	Dividend	K	T					
23. -- Frontier Communications Corp. (Common Stock)	A	Dividend	J	T					
24. -- General Electric Company (Common Stock)	A	Dividend							
25. -- Genuine Parts Co. (Common Stock)	A	Dividend	J	T					
26. -- Microsoft Corp. (Common Stock)	A	Dividend	J	T					
27. -- Pepsico Inc. (Common Stock)	A	Dividend	K	T					
28. -- Pfizer Inc. (Common Stock)	A	Dividend	J	T					
29. -- QEP RES Inc. (Common Stock)	A	Dividend	J	T					
30. -- Questar Corp. (Common Stock)	A	Dividend	J	T					
31. -- Rackspace Hosting Inc. (Common Stock)		None	J	T					
32. -- SunTrust Bank (Common Stock)	A	Dividend							
33. -- Verizon Communications Inc. (Common Stock)	A	Dividend	J	T					
34. -- Walmart de Mexico S.A.B. de CV (Common Stock)	A	Dividend	J	T					

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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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35. -- Walmart Stores Inc. (Common Stock)	A	Dividend	J	T					
36. -- Walgreen Co. (Common Stock)	A	Dividend	J	T					
37. -- Alger Spectra Fund Class C (Mutual Fund)	A	Dividend	K	T					
38. -- American Funds Tax Exempt Bond Fund (Mutual Fund)	B	Dividend							
39. -- American Funds Euro Pacific Growth Fund (Mutual Fund)	A	Dividend	L	T					
40. -- Templeton Global Income Fund (Mutual Fund)	B	Dividend	K	T					
41. -- FT-Franklin Federal Fund (Mutual Fund)	A	Dividend	L	T					
42. -- Johnson city TN Bonds (Govt. Bonds)	A	Interest							
43. -- Metro Govt. Nashville/Davidson 592112 (Govt. Bonds)		None	K	T					
44. -- Metro Govt. Revenue Bonds 592090 (Govt. Bonds)	B	Interest	K	T					
45. -- Metro Govt. Nashville/Davidson 5920137 (Govt. Bonds)	A	Interest	J	T					
46. -- Blount County Tenn. Public Bonds (Govt. Bonds)	C	Interest	L	T					
47. -- State of Texas Bonds #1 (Govt. Bonds)		None	L	T					
48. -- Hamilton County Tenn. Bonds (Govt. Bonds)	A	Interest	K	T					
49. -- Texas State Trans/Comm Bonds (Govt. Bonds)	A	Interest	K	T					
50. -- State of Texas Bonds #2 (Govt. Bonds)		None	K	T					
51. -- Metro Govt. Nashville Sinking Fund 592041 (Govt. Bonds)	D	Interest	L	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -- Knoxville Tenn. Waste Water Bonds (Govt. Bonds)	A	Interest	J	T					
53. -- New York Municipal Water Fin. Auth. (Govt. Bonds)	B	Interest	K	T					
54. -- Tennessee State Bonds SR (Govt. Bonds)	B	Interest	K	T					
55. -- Tennessee State Bonds Assur (Govt. Bonds)	B	Interest							
56. -- Texas A&M Univ. (Govt. Bonds)		None	K	T					
57. -- Williamson County TN Bonds (Govt. Bonds)	A	Interest							
58. -- UBS Money Market Account	A	Interest	J	T					
59.									
60. UBS Brokerage Account - Roth IRA (Details Below)									
61. -- Lincoln Life Annuity	A	Int./Div.	K	T					
62. -- Nationwide Annuity	A	Int./Div.	L	T					
63. -- Ohio National Annuity	A	Int./Div.	K	T					
64. UBS Brokerage Account - Roth IRA (Spouse)(Details Below)									
65. -- Genworth Life Annuity	A	Int./Div.	M	T					
66. -- Lincoln Life Annuity	A	Int./Div.	K	T					
67. -- Nationwide Annuity	A	Int./Div.	M	T					
68. -- Ohio National Annuity	A	Int./Div.	M	T					

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69. -- First Eagle Global Fund (Mutual Fund)	A	Int./Div.	J	T					
70. UBS Brokerage Account - Educational Trust (Details Below)									
71. -- UBS Money Market Account	A	Interest	J	T					
72. -- Alger Spectra Fund	A	Dividend	J	T					
73. -- American Funds Euro Pacific Growth Fund	A	Dividend	J	T					
74. -- Franklin Utilities Fund	A	Dividend	J	T					
75. -- MFS Utilities Fund	A	Dividend	J	T					
76. -- Royce Special Equity Fund	A	Dividend	J	T					
77. -- Delaware Diversified Income Fund	A	Dividend	J	T					
78. -- FT Templeton Global Bond Fund	A	Dividend	J	T					
79. -- American Funds Income Fund of America	A	Dividend	J	T					
80. UBS Brokerage-529 College Fund #1 (Details Below)									
81. -- Growth Fund of America	A	Int./Div.	J	T					
82. -- Bond Fund of America	A	Int./Div.	J	T					
83. -- American Balanced Fund	A	Int./Div.	J	T					
84. -- Capital Income Builder Fund	A	Int./Div.	J	T					
85. UBS Brokerage-529 College Fund #2 (Details Below)									

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86. -- Growth Fund of America	A	Int./Div.	J	T					
87. -- Bond Fund of America	A	Int./Div.	J	T					
88. -- American Balanced Fund	A	Int./Div.	J	T					
89. -- Capital Income Builder Fund	A	Int./Div.	J	T					
90.									
91. Northwestern Mutual Single Premium Insurance/Annuity		None	L	T					
92. Broward County FL School Bonds (Govt. Bonds)(Northwestern)	A	Interest	K	T					
93.									
94. Hartford 401K Plan (Details Below)									
95. -- MFS Limited Maturity Fund	C	Dividend	L	T					
96. -- MFS Conservative Allocation Fund	C	Dividend	L	T					
97. -- MFS Moderate Allocation Fund	C	Dividend	L	T					
98. -- American Century Money Market Account	A	Int./Div.	O	T					
99.									
100. Maury County TN Farm interest in family farm)	C	Rent	O	W					
101. Center Hill Lake TN Undeveloped Real Estate		None	M	W					

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

1. Since this is an initial filing, I did not report Reimbursements or Gifts.
2. Since this is an initial filing, I did not report on Transactions.
3. With regard to the Roth IRAs and the 529 Educational accounts, the amounts listed in Column B are based on net changes in value since the reports received do not provide sufficient information to determine how much of the overall change in value is attributable to income versus market valuation. In the case of the 401k, even though there were no actual distributions, the amounts listed in Column B are based on the actual figures attributable to accrued and reinvested dividends and interest, since the reports for those accounts provide sufficient detail to make the calculations. No actual distributions were made from the IRAs, 401k or 529 accounts and no income received. Rather, all funds remained in the accounts pursuant to applicable tax regulations.
4. The two 529 College funds reflected in the Investments and Trusts section were set up through the Commonwealth of Virginia 529 program and are handled through a brokerage account at UBS Financial Services, Inc. The particular mutual funds in which the money is invested are identified on lines 81-84 and 86-89.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544