

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/08/2015
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 01/01/2014 to 12/31/2014
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 [REDACTED]
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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Name of Person Reporting

Mashburn, Randal S.

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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.

2.

National Conference of
Bankruptcy Judges10/07/14 to
10/14/2014

Chicago, IL

Attendance at meetings
and seminars of annual
conference of association.

Transportation and portion of lodging.

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. BANK ACCOUNTS (H) -- Lines 2-8									
2. Bank of America (Accounts/CDs)	A	Interest	L	T					
3. Civic Bank & Trust (Accounts/CDs)	B	Interest	N	T					
4. Community First Bank & Trust (Accounts/CDs)	B	Interest	M	T					
5. Pinnacle National Bank (Accounts/CDs)	B	Interest	M	T					
6. First Citizens National Bank (Accounts/CDs)	A	Interest	L	T					
7. Insbank (Accounts/CDs)	A	Interest	N	T					
8. Legends Bank	B	Interest	M	T					
9. UBS BROKERAGE ACCT (H) -- Items 10 to 49 below									
10. America Movil S.A.B. De C.V. (Common Stock)	A	Dividend	J	T					
11. BP PLC (Common Stock)	A	Dividend			Sold	12/15/14	J		
12. EOG Resources (Common Stock)		None	J	T	Buy	12/15/14	J		
13. EQT Corp (Common Stock)	A	Dividend	K	T					
14. Express Scripts Holding Co. (formerly Medco) (Common Stock)		None	J	T					
15. Exxon Mobil Corp. (Common Stock)	A	Dividend	K	T					
16. Freeport-McMoran (Common Stock)		None	J	T	Buy	12/15/14	J		
17. Genuine Parts Co. (Common Stock)	A	Dividend	J	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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18. Microsoft Corp. (Common Stock)	A	Dividend	J	T					
19. Pepsico Inc. (Common Stock)	A	Dividend	K	T					
20. Pfizer Inc. (Common Stock)	A	Dividend	J	T					
21. QEP RES Inc. (Common Stock)	A	Dividend			Sold	12/15/14	J		
22. Rackspace Hosting Inc. (Common Stock)		None	J	T					
23. Rio Tinto PLC Spon ADR (Common Stock)	A	Dividend			Sold	12/15/14	J		
24. Verizon Communications Inc. (Common Stock)	A	Dividend	J	T					
25. Walmart de Mexico S.A.B. de CV (Common Stock)	A	Dividend	J	T					
26. Walmart Stores Inc. (Common Stock)	A	Dividend	K	T					
27. Walgreen Co. (Common Stock)	A	Dividend	J	T					
28. Alger Spectra Fund Class C (Mutual Fund)	D	Dividend	K	T					
29. American Funds Euro Pacific Growth Fun (Mutual Fund)	A	Dividend	J	T					
30. Templeton Global Income Fund (Mutual Fund)	B	Dividend			Sold	12/15/14	J		
31. FT-Franklin Federal Fund (Mutual Fund)	B	Dividend	L	T					
32. Vertus Global Multi Sector (Common Stock)	A	Dividend	J	T	Buy	12/15/14	J		
33. Metro Govt. Nashville/Davidson (Govt. Bonds)	B	Interest	L	T	Redeemed (part)	02/06/14	K		
34. Metro Govt. Revenue Bonds (Govt. Bonds)	B	Interest	K	T	Redeemed (part)	07/01/14	K		

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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35. Metro Govt. Nashville/Davidson (Govt. Bonds)	A	Interest			Redeemed	07/01/14	K		
36. Blount County Tenn. Public Bonds (Govt. Bonds)	B	Interest	L	T					
37. State of Texas Bonds #1 (Govt. Bonds)	B	Interest	L	T					
38. Hamilton County Tenn. Bonds (Govt. Bonds)	A	Interest	K	T					
39. Texas State Trans/Comm Bonds (Govt. Bonds)	B	Interest	K	T					
40. State of Texas Bonds #2 (Govt. Bonds)	B	Interest	K	T					
41. Metro Govt. Nashville Sinking Fund (Govt. Bonds)	B	Interest	L	T					
42. Knoxville Tenn. Waste Water Bonds (Govt. Bonds)	A	Interest	J	T					
43. New York Municipal Water Fin. Auth. (Govt. Bonds)	B	Interest	K	T					
44. Tennessee State Bonds SR (Govt. Bonds)	B	Interest	K	T					
45. Tennessee State School Bonds (Govt. Bonds)	B	Interest	L	T					
46. Tennessee State School Bonds (Govt. Bonds)	A	Interest	K	T	Buy	08/29/14	K		
47. Texas A&M Univ. (Govt. Bonds)	B	Interest	K	T					
48. Memphis Airport Bonds (Govt. Bonds)	A	Interest	K	T	Buy	09/11/14	K		
49. UBS Money Market Account	A	Interest	J	T					
50. ROTH IRA -- Lines 51-54	A	Int./Div.	M	T					
51. -- Nationwide Annuity					Buy (add'l)	02/14/14	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 \$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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52. -- Lincoln Life Annuity					Closed	02/14/14	K		
53. -- Ohio National Annuity									
54. -- First Eagle Global Fund (Mutual Fund)					Buy (add'l)	02/10/14	J		
55. ROTH IRA ██████████ Lines 56-61	A	Int./Div.	N	T					
56. -- Genworth Life Annuity									
57. -- Lincoln Life Annuity					Closed	02/14/14	K		
58. -- Nationwide Annuity					Buy (add'l)	02/14/14	K		
59. -- Ohio National Annuity									
60. -- First Eagle Global Fund (Mutual Fund)					Buy (add'l)	02/10/14	J		
61. -- American Funds New Perspective (Mutual Fund)					Buy	02/25/14	J		
62. EDUCATIONAL TRUST -- Lines 63-70	B	Int./Div.	L	T					
63. -- Alger Spectra Fund					Sold (part)	09/11/14	J	C	
64. -- American Funds Euro Pacific Growth Fund					Sold (part)	09/11/14	J	B	
65. -- Royce Special Equity Fund					Sold	09/11/14	J	B	
66. -- FT Templeton Global Bond Fund					Sold (part)	09/11/14	J	A	
67. --American Funds Income Fund of America					Sold (part)	09/11/14	J	A	
68. -- Blackrock Health Science Opportunities Fund					Sold (part)	09/11/14	J	C	

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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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69. -- Lord Abbett Short Duration Income Fund					Sold (part)	09/11/14	J	A	
70. -- Natixis Vaughn Nelson Value Fund					Buy	09/11/14	J		
71. 529 COLLEGE FUND #1 -- Lines 72-75		None	L	T					
72. -- Growth Fund of America									
73. -- Bond Fund of America									
74. -- American Balanced Fund									
75. -- Capital Income Builder Fund									
76. 529 COLLEGE FUND #2 -- Lines 77-80		None	L	T					
77. -- Growth Fund of America									
78. -- Bond Fund of America									
79. -- American Balanced Fund									
80. -- Capital Income Builder Fund									
81. NORTHWESTERN BROKERAGE ACCT (H) Lines 82-87									
82. --Northwestern Mutual Single Premium Insurance/Annuity	A	Dividend	L	T					
83. --Northwestern Mutual General Money Market Fund CI B	A	Int./Div.	J	T					
84. --EuroPacific Growth Fund	A	Dividend	J	T					
85. --Tax-Exempt Bond Fund of America	A	Dividend	J	T					

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86. --Localshares Nashville Area ETF	A	Dividend	J	T					
87. --Vanguard Index Funds	A	Dividend	J	T					
88. IRA #1 -- UBS (prior 401k) -- Lines 89-102	E	Int./Div.	O	T					
89. -- Pace Money Market Investment Fund									
90. -- Alger Spectra Fund Class A					Sold (part)	09/11/14	J		
91. -- Calamas Convertible Fund					Buy	09/11/14	K		
92. -- Columbia Acorn Fund									
93. -- First Eagle Overseas Fund Class A									
94. -- ING Global Real Estate Fund Class A (became Voya Global)					Closed	05/02/14	K		
95. -- Voya Global Real Estate Fund (formerly ING Global)					Spinoff (from line 94)	05/02/14	K		
96. -- Vertus Premium Alpha Sector Fund A					Sold	09/11/14	J		
97. -- Loomis Sayles Bond Fund Class Retail									
98. -- Lord Abbett Short Duration Income Fund Class A									
99. -- Oppenheimer Intl Bond Fund Class A									
100. -- TCW Emerging Markets Income Fund Class N									
101. -- Blackrock Global Allocation Fund Inc A									
102. -- Mainstay Marketfield Fund									

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103. IRA #2 -- UBS (prior 401k) -- Lines 104-113	D	Int./Div.	N	T					
104. -- UBS Bank USA Deposit Account									
105. -- Berkshire Hathaway Inc New CL B									
106. -- ConocoPhillips B/E Bonds									
107. -- United Parcel Service DPB Inc B/E Bonds									
108. -- Duke Energy Carolina Bonds									
109. -- Coca Cola Co. Com NTS B/E Bonds									
110. -- Anheuser-Busch Inbev WDR Bonds									
111. -- Federated Short-Term Income Fund Class A					Sold	02/07/14	M		
112. -- Verizon Communications					Buy	02/07/14	K		
113. -- Virtus Multi-Sector Short Term Bond Fund - Class C					Buy (add'l)	02/10/14	J		
114. OTHER MISC. INVESTMENTS (H) Lines 115-116									
115. Maury County TN Farm (██████████)	D	Rent	O	W					
116. Center Hill Lake TN Undeveloped Real Estate		None	M	W					

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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/ **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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