

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 05/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 800 Market Street, Suite 330 Knoxville, TN 37902		
IMPORTANT NOTES: <i>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>		

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. Associate Editor and Board Member	American Bankruptcy Law Journal (National Conference of Bankruptcy Judges)
3. Managing Editor, Conference News	National Conference of Bankruptcy Judges
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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Bauknight, Suzanne H.

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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. 11/2019	University of Tennessee College of Law - teaching	\$3,300.00
2. 2019	Associate Editor, American Bankruptcy Law Journal, National Conference of Bankruptcy Judges	\$6,000.00
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. 2019	Powell United Methodist Church; employment
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	12/11/19 - 12/13/19	Nashville, TN	seminar faculty	lodging, meals, tuition
2. National Conference of Bankruptcy Judges	10/29/19 - 11/02/19	Washington, DC	professional association meeting	lodging, travel
3. Tennessee Bar Association	04/05/19 - 04/07/19	Gatlinburg, TN	seminar faculty	lodging, travel, meals
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.	Bard College at Simon's Rock	Tuition, Room & Board	None
2.	Home Depot	Revolving Credit Card	J
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. LPL Financial Trad'l IRA (H)									
2. -Cash - Goldman Sachs	A	Interest	J	T					
3. -PIMCO Income Cl A	A	Dividend			Sold	01/07/19	J	A	
4. -Oppenheimer Developing Markets Cl A	A	Dividend	J	T	Buy (add'l)	04/30/19	J		
5.					Sold (part)	01/07/19	J	A	
6.					Sold (part)	07/16/19	J	A	
7. -Ishares Core S&P Small Cap ETF	A	Dividend			Sold	04/30/19	J	A	
8. -Berkshire Hathaway in DE CL B BRK/B		None			Sold (part)	01/07/19	J	A	
9.					Sold	07/16/19	J	A	
10. -Blackrock Total Return Instl MAHQX	A	Dividend	K	T	Sold (part)	01/07/19	J	A	
11.					Buy (add'l)	03/12/19	J		
12.					Buy (add'l)	04/30/19	J		
13.					Sold (part)	07/16/19	J	A	
14. -IShares Core S&P Mid Cap ETF UH	A	Dividend			Sold (part)	03/12/19	J	A	
15.					Sold	04/30/19	J	A	
16. -JPMorgan Global Bond Oppty CL 1 GBOSX	A	Dividend			Sold (part)	01/07/19	J	A	
17.					Sold	04/30/19	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	
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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	(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. -John Hancock Intl Growth Cl 1 GOGIX	A	Dividend			Buy (add'l)	01/07/19	J		
19.					Sold	03/12/19	J	A	
20. -iShares Core S&P US Value ETF IUSV	A	Dividend	K	T	Sold (part)	01/07/19	J	A	
21.					Buy (add'l)	03/12/19	J		
22.					Sold (part)	07/16/19	J	A	
23. -iShares Core S&P US Growth ETF IUSG	A	Dividend	K	T	Sold (part)	01/07/19	J	A	
24.					Sold (part)	07/16/19	J	A	
25. -Blackrock Strategic Mun Opptys MAMTX	A	Dividend	J	T	Sold (part)	01/07/19	J	A	
26.					Buy (add'l)	04/30/19	J		
27.					Sold (part)	07/16/19	J	A	
28. -Blackrock Strategic Income Opptys BSIIX	A	Dividend	J	T	Sold (part)	01/07/19	J	A	
29.					Sold (part)	04/30/19	J	A	
30.					Sold (part)	07/19/19	J	A	
31. -Columbia Floating Rate Instl CL CFRZX	A	Dividend			Sold (part)	01/07/19	J	A	
32.					Sold	03/12/19	J	A	
33. -iShares Edge MSCI Min Volatility ETF USMV	A	Dividend	J	T	Sold (part)	01/07/19	J	A	
34.					Buy (add'l)	04/30/19	J		

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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. -Ishares Core MSCI EAFE ETF (IEFA)	A	Dividend	J	T	Buy	03/12/19	J		
36.					Sold (part)	07/16/19	J	A	
37. -Ishares US Treasury Bond ETF (Govt)	A	Dividend	J	T	Buy	04/30/19	J		
38.					Sold (part)	07/16/19	J	A	
39. -Morgan Stanley Instl Intl Advantage Cl 1 (MFAIX)	A	Dividend	J	T	Buy	03/12/19	J		
40.					Sold (part)	07/16/19	J	A	
41. -Pimco Income Cl 12 (PONPX)	A	Dividend	J	T	Buy	04/30/19	J		
42. LPL Financial ROTH IRA #2 (H)									
43. -Cash - Goldman Sachs	A	Interest							
44. -Ishares Core S&P Total US Stock Market ETF	A	Dividend			Sold	07/16/19	J	A	
45. -Blackrock Strategic Income Opptys Investors Cl A	A	Dividend			Sold	07/16/19	J	A	
46. -Pimco All Asset All Authority Cl A (class exch to Cl 12)	A	Dividend			Sold	07/16/19	J	A	
47. Holston Methodist Fed'l CU (Cash Accounts)	A	Interest	J	T					
48. LPL Financial (Cash Account)	A	Interest	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
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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