

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/10/2019
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 01/01/2018 to 12/31/2018
	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. Chair, Administrative Board	Powell United Methodist Church, Powell, TN
3. Chair, Next Generation Committee	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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/10/2019

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. 11/2018	University of Tennessee College of Law - teaching	\$3,300.00
2. 2018	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. 2018	Powell United Methodist Church
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	11/28/18 - 11/30/18	Nashville, TN	seminar faculty	lodging, meals, tuition
2. National Conference of Bankruptcy Judges	10/27/18 - 10/31/18	San Antonio, TX	professional association meeting	lodging, travel
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Bauknight, Suzanne H.	05/10/2019

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.	Bard College at Simon's Rock	Tuition, Room & Board	None
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/10/2019

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 Trad'l IRA (H)									
2. -Cash - Goldman Sachs	A	Interest	J	T					
3. -PIMCO Income Cl A	A	Dividend	J	T	Buy (add'l)	07/25/18	J		
4. -American Funds American Balanced Cl F1	A	Dividend			Sold	07/25/18	J	B	
5. -Capital Income Builder Cl F1	A	Dividend			Sold	07/25/18	J	A	
6. -Invesco Interm Mun Income	A	Dividend			Sold	07/25/18	J	A	
7. -Invesco Equally Weighted S&P 500 Cl A	A	Dividend			Sold	07/25/18	J	B	
8. -Ishares Russell Mid Cap Growth ETF	A	Dividend			Sold	07/25/18	J	B	
9. -Lord Abbett Short Duration Income Cl A	A	Dividend			Sold	07/25/18	J	A	
10. -Oppenheimer Intl Growth Cl A	A	Dividend			Sold	07/25/18	J	B	
11. -Oppenheimer Developing Markets Cl A	A	Dividend	J	T	Sold (part)	07/25/18	J	A	
12. -Powershares QQQ ETF	A	Dividend			Sold	07/25/18	J	B	
13. -Wisdomtree Mid Cap Divident ETF	A	Dividend			Sold	07/25/18	J	A	
14. -Pimco All Asset All Authority Cl A	A	Dividend			Sold	07/25/18	J	A	
15. -Invesco Int'l Growth Cl A	A	Dividend			Sold	07/25/18	J	A	
16. -Powershares 1-30 Laddered Treasury ETF	A	Dividend			Sold	07/25/18	J	A	
17. -Ishares Core S&P Small Cap ETF	A	Dividend	J	T	Sold (part)	07/25/18	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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18. -Sierra Strategic Income CL	A	Dividend			Sold	07/25/18	J	A	
19. -Sierra Core Retirement Income Cl A	A	Dividend			Sold	07/25/18	J	A	
20. -Global X MLP & Energy Infrastructure	A	Dividend			Buy (add'l)	02/16/18	J		
21.					Sold	07/25/18	J	A	
22. Berkshire Hathaway in DE CL B BRK/B		None	J	T	Buy	07/25/18	J		
23. Blackrock Total Return Instl MAHQX	A	Dividend	J	T	Buy	07/25/18	J		
24. IShares Core S&P Mid Cap ETF UH		None	J	T	Buy	07/25/18	J		
25. JPMorgan Global Bond Opptys CL 1 GBOSX	A	Dividend	J	T	Buy	07/25/18	J		
26. John Hancock Intl Growth Cl 1 GOGIX	A	Dividend	J	T	Buy	07/25/18	J		
27. IShares Core S&P US Value ETF IUSV	A	Dividend	K	T	Buy	07/25/18	K		
28. IShares Core S&P US Growth ETF IUSG	A	Dividend	K	T	Buy	07/25/18	K		
29. Blackrock Strategic Mun Opptys MAMTX	A	Dividend	J	T	Buy	07/25/18	J		
30. Blackrock Strategic Income Opptys BSIIX	A	Dividend	J	T	Buy	07/25/18	J		
31. Columbia Floating Rate Instl CL CFRZX	A	Dividend	J	T	Buy	07/25/18	J		
32. IShares Edge MSCI Min Volatility ETF USMV	A	Dividend	J	T	Buy	07/25/18	J		
33. LPL Financial ROTH IRA #2 (H)									
34. -Cash - Goldman Sachs	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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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. -Ishares Core S&P Total US Stock Market ETF	A	Dividend	J	T	Sold (part)	07/25/18	J	A	
36. -Blackrock Strategic Income Opptys Investors Cl A	A	Dividend	J	T	Buy (add'l)	07/25/18	J		
37. -Pimco All Asset All Authority Cl A	A	Dividend	J	T	Buy (add'l)	07/25/18	J		
38. Holston Methodist Fed'l CU (Cash Accounts)	A	Interest	J	T					
39. 529 College: Rhode Island Hi Ed SVG CBF Age Aggressive Growth	A	Dividend			Sold	07/05/18	J	A	
40. LPL Financial ROTH IRA #1(H)					Closed	06/26/18	J	A	
41. -Cash - Goldman Sachs	A	Interest							
42. -Oppenheimer Developing Markets Cl A		None			Sold	06/26/18	J	A	
43. -PIMCO Income Cl A	A	Dividend			Sold	06/26/18	J	A	
44. -Ishares Russell Mid Cap Growth ETF	A	Dividend			Sold	06/26/18	J	A	
45. -Invesco Interm Term Mun Income Cl A	A	Dividend			Sold	06/26/18	J	A	
46. -Lord Abbett Short Duration Income Cl A	A	Dividend			Sold	06/26/18	J	A	
47. -Oppenheimer Int'l Growth Cl A		None			Sold	06/26/18	J	A	
48. -Pimco All Asset All Authority Cl A	A	Dividend			Sold	06/26/18	J	A	
49. -Powershares QQQ ETF	A	Dividend			Sold	06/26/18	J	A	
50. -Wisdomtree Mid Cap Divident ETF	A	Dividend			Sold	06/26/18	J	A	
51. -Invesco Equally Weighted S&P 500 Cl A		None			Sold	06/26/18	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
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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)
52. -American Funds American Balanced Cl A	A	Dividend			Sold	06/26/18	J	A	
53. -Capital Income Builder Cl F1	A	Dividend			Sold	06/26/18	J	A	
54. -Invesco Int'l Growth Cl A		None			Sold	06/26/18	J	A	
55. -Powershares I-30 Laddered Treasury ETF	A	Dividend			Sold	06/26/18	J	A	
56. -Ishares Core S&P Small Cap	A	Dividend			Sold	06/26/18	J	A	
57. -Sierra Core Retirement Cl A	A	Dividend			Sold	06/26/18	J	A	
58. -Sierra Strategic Income Cl A	A	Dividend			Sold	06/26/18	J	A	
59. -Global X MLP & Energy Infrastructure		None			Sold	06/26/18	J	A	
60. LPL Financial (Cash Account)	A	Interest	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting Bauknight, Suzanne H.	Date of Report 05/10/2019
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/10/2019

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