

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/04/2021
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 01/01/2020 to 12/31/2020
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. 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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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. 11/2020	University of Tennessee College of Law - teaching	\$3,300.00
2. 2020	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. 2020	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.				
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.)

	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) 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. -Oppenheimer Developing Markets Cl A (Y ODVYX)	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
4.					Buy (add'l)	02/19/20	J		
5.					Sold (part)	04/16/20	J	A	
6.					Buy (add'l)	09/09/20	J		
7. -Blackrock Total Return Instl MAHQX	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
8.					Buy (add'l)	02/19/20	J		
9.					Sold (part)	04/16/20	J	A	
10. -iShares Core S&P US Value ETF IUSV	A	Dividend			Sold	01/02/20	K	B	
11. -iShares Core S&P US Growth ETF IUSG	A	Dividend	J	T	Sold (part)	01/02/20	J	B	
12.					Sold (part)	02/19/20	J	B	
13.					Sold (part)	04/16/20	J	B	
14.					Sold (part)	09/09/20	J	B	
15. -Blackrock Strategic Mun Opptys MAMTX	A	Dividend			Sold (part)	01/02/20	J	A	
16.					Sold	02/19/20	J	A	
17. -Blackrock Strategic Income Opptys BSIIX	A	Dividend	J	T	Sold (part)	01/02/20	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	

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)
18.					Buy (add'l)	02/19/20	J		
19.					Sold (part)	04/16/20	J	A	
20.					Buy (add'l)	09/09/20	J		
21. -iShares Edge MSCI Min Volatility ETF USMV	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
22.					Buy (add'l)	04/06/20	J		
23. -iShares Core MSCI EAFE ETF (IEFA)	A	Dividend			Sold (part)	01/02/20	J	A	
24.					Sold	04/16/20	J	A	
25. -iShares US Treasury Bond ETF (Govt)	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
26.					Sold (part)	04/16/20	J	A	
27.					Buy (add'l)	09/09/20	J		
28. -Morgan Stanley Instl Intl Advantage Cl 1 (MFAIX)	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
29.					Buy (add'l)	02/19/20	J		
30.					Buy (add'l)	04/16/20	J		
31.					Sold (part)	09/09/20	J	A	
32. -Pimco Income Cl 12 (PONPX)	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
33.					Sold (part)	02/19/20	J	A	
34.					Sold (part)	04/16/20	J	A	

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

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	(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)
35.					Buy (add'l)	09/09/20	J		
36. -Nuveen Strategic Mun Opptys CL 1 (NSIOX)	A	Dividend	J	T	Buy	02/19/20	J		
37.					Sold (part)	04/16/20	J	A	
38.					Buy (add'l)	09/09/20	K		
39. -Fidelity Advisor Stock Selector Small Cap CL 1 (FCDIX)	A		J	T	Buy	09/09/20	J		
40. -Blackrock Health Scienses Opptys Instl Cl (SHSSX)	A	Dividend	J	T	Buy	09/09/20	J		
41. -Spdr Portfolio Developed World Ex-us ETF (SPDW)	A	Dividend	J	T	Buy	04/16/20	J		
42. -Vanguard Dividend Appreciation ETF (VIG)	A	Dividend	J	T	Buy	04/16/20	J		
43.					Sold (part)	09/09/20	J	A	
44. -Blackrock Technology Opptys Instl C1 (BGSIX)			J	T	Buy	04/16/20	J		
45.					Sold (part)	09/09/20	J	A	
46. -Ishares Core Dividend Growth ETF (DGRO)	A	Dividend			Buy	01/02/20	J		
47.					Sold	04/16/20	J	A	
48. -Berkshire Hathaway Inc Cl B New (BRK/ B)	A	Dividend	J	T	Sold (part)	01/02/20	J	A	
49. Holston Methodist Fed'l CU (Cash Accounts)	A	Interest	J	T					
50. LPL Financial (Cash Account)	A	Interest	J	T					

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

On review of the information provided by my LPL broker for this report, I realized that I misread last year's report from the broker and indicated a complete sale of Berkshire Hathaway Inc Cl B New (BRK/B). Thus, this report at Part VII, line 48, reflects no buy for that fund and reflects a partial sale in 2020. I am amending my 2019 report to change the full sale of 7/16/19 as a partial sale and to amend the value at the end of the reporting period for that fund.

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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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