

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/04/2017
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 01/01/2016 to 12/31/2016
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Nashville Bar Association (non-profit organization)
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.		
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. Mississippi Bankruptcy Conference	11/109/16 to 11/10/16	Jackson, MS	Participate in panel making presentation at seminar on bankruptcy.	Transportation, food and lodging.
2. National Conference of Bankruptcy Judges	10/26/16 to 10/29/16	San Francisco, CA	Attendance at meetings/ seminars at annual conference of bankruptcy judges.	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 2-10									
2. -Bank of America (Accounts/CDs)	A	Interest	L	T					
3. -Bank of Nashville (Accounts/CDs)	A	Interest	L	T					
4. -Civic Bank & Trust (Accounts/CDs)	D	Interest	N	T					
5. -Community First Bank & Trust (Accounts/CDs)	B	Interest	M	T					
6. -Pinnacle National Bank (Accounts/CDs)	A	Interest	L	T					
7. Fifth Third Bank	A	Interest	M	T	Open	05/13/16	M		
8. -Insbank (Accounts/CDs)	D	Interest	N	T					
9. -Legends Bank (Accounts/CDs)	B	Interest	M	T					
10. -First Citizens National Bank (Account)(X)	A	Interest	J	T					
11. BROKERAGE ACCT (H) -- Items 12 to 51 below									
12. -America Movil S.A.B. De C.V. (Common Stock)	A	Dividend	J	T					
13. -Anheuser Busch InBev Spon ADR (Common Stock)	A	Dividend	J	T	Buy	03/21/16	J		
14. -Apple Inc. (Common Stock)	A	Dividend	K	T					
15. -Bristol Myers Squibb Co. (Common Stock)	A	Dividend	J	T	Buy	03/21/16	J		
16. -EOG Resources Inc. (Common Stock)	A	Dividend	J	T	Buy	01/19/16	J		
17. -EQT Corp (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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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18. -Express Scripts Holding Co. (Common Stock)		None	J	T					
19. -Exxon Mobil Corp. (Common Stock)	A	Dividend	K	T					
20. -Fortinet Inc. (Common Stock)		None	J	T	Buy	09/26/16	J		
21. -Genuine Parts Co. (Common Stock)	A	Dividend	J	T					
22. -Home Depot Inc. (Common Stock)	A	Dividend	J	T	Buy	03/21/16	J		
23. -Merck & Co. Inc. New Com (Common Stock)	A	Dividend	J	T	Buy	03/21/16	J		
24. -Microsoft Corp. (Common Stock)	A	Dividend	K	T					
25. -Pepsico Inc. (Common Stock)	A	Dividend	K	T					
26. -Pfizer Inc. (Common Stock)	A	Dividend	J	T					
27. -Rackspace Hosting Inc. (Common Stock)		None			Sold	09/26/16	J	B	
28. -Verizon Communications Inc. (Common Stock)	A	Dividend			Sold	03/21/16	J	B	
29. -Walmart de Mexico S.A.B. de CV (Common Stock)	A	Dividend	J	T					
30. -Walgreen Co. (Common Stock)	A	Dividend	J	T					
31. -Whole Foods (Common Stock)	A	Dividend	J	T	Buy	03/21/16	J		
32. -Alger Spectra Fund Class C (Mutual Fund)	B	Dividend	L	T					
33. -American Funds Euro Pacific Growth Fun (Mutual Fund)	A	Dividend	K	T					
34. -FT-Franklin Federal Fund (Mutual Fund)	B	Dividend	L	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 \$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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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)
35. -Vertus Global Multi Sector (Common Stock)	B	Dividend	J	T					
36. -Metro Govt. Nashville/Davidson Bonds #1 (Govt. Bonds)	B	Interest	L	T					
37. -Metro Govt. Nashville/Davidson Bonds #2 (Govt. Bonds)	B	Interest	K	T					
38. -Blount County Tenn. Public Bonds (Govt. Bonds)	B	Interest	L	T					
39. -State of Texas Bonds #1 (Govt. Bonds)	B	Interest	L	T					
40. -Hamilton County Tenn. Bonds (Govt. Bonds)	A	Interest	K	T					
41. -Texas State Trans/Comm Bonds (Govt. Bonds)	B	Interest			Sold	09/26/16	K	A	
42. -State of Texas Bonds #2 (Govt. Bonds)	B	Interest	K	T					
43. -Metro Govt. Nashville/Davidson Bonds #3 (Govt. Bonds)	B	Interest	L	T					
44. -New York Municipal Water Fin. Auth. (Govt. Bonds)	B	Interest	K	T					
45. -Tennessee State Bonds SR (Govt. Bonds)	B	Interest	K	T					
46. -Tennessee State School Bonds #1 (Govt. Bonds)	B	Interest	L	T					
47. -Tennessee State School Bonds #2 (Govt. Bonds)	B	Interest	K	T					
48. -Texas A&M Univ. (Govt. Bonds)	B	Interest	K	T					
49. -Memphis Airport Bonds (Govt. Bonds)	B	Interest	K	T					
50. -Southern Company Bonds	A	Interest	K	T	Buy	09/26/16	K		
51. -UBS Money Market 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
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. ROTH IRA (H) #1 -- Lines 53-65									
53. - Nationwide Dest. All Am Gold Annuity (Variable) (%s on lines 53-54)		None	M	T					
54. -- NW AMFDS NVIT AsstAlloc. II -- 51.1%									
55. -- NW NVIT Inv. Dest. Mod II - 48.9%									
56. - Ohio National Oncore Value Annuity (Variable) (%s on lines 56-63)		None	K	T					
57. -- Franklin Founding Funds Allocation VIP - 25.5%									
58. -- Janus Aspen INTECH U.S. Low Volatility - 25.3%									
59. -- PIMCO Total Return Portfolio - 14.7%									
60. -- Bond Portfolio Ohio Natl - 14.7%									
61. -- JP Morgan Ins. Trust Mid Cap Value - 5.0%									
62. -- Ivy Funds VIP Science and Tech - 5%									
63. -- Small Cap Growth Portfolio-Janus - 4.9%									
64. -- Janus Aspen Series Overseas Portfolio - 4.9%									
65. - First Eagle Global Fund (Mutual Fund)	B	Dividend	K	T					
66. ROTH IRA (H) #2 -- Lines 67-83									
67. - Genworth Retiree-ready Annuity (Variable) (%s shown lines 67-68)		None	M	T					
68. -- Blk Global Allocation V.I -- 49.9%									

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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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69. -- SSG Total Return - Class 3 - 50.1%									
70. - Nationwide Dest. All Am Gold Annuity (Variable) (%s on lines 70-71)		None	M	T					
71. -- NW AMFDS NVIT AsstAlloc. II -- 51.1%									
72. -- NW NVIT Inv. Dest. Mod II - 48.9%									
73. - Ohio National Oncore Value Annuity (Variable) (%s on lines 73-80)		None	M	T					
74. -- Franklin Founding Funds Allocation VIP - 25.5%									
75. -- Janus Aspen INTECH U.S. Low Volatility - 25.3%									
76. -- PIMCO Total Return Portfolio - 14.7%									
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79. -- Ivy Funds VIP Science and Tech - 5%									
80. -- Small Cap Growth Portfolio-Janus - 4.9%									
81. -- Janus Aspen Series Overseas Portfolio - 4.9%									
82. - First Eagle Global Fund (Mutual Fund)	B	Dividend	K	T					
83. - American Funds New Perspective (Mutual Fund)	A	Dividend	J	T					
84. 529 COLLEGE FUND #1(H) -- Lines 85-88									
85. - Growth Fund of America	A	Dividend	K	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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86. - Bond Fund of America	A	Dividend	J	T					
87. - American Balanced Fund	A	Dividend	K	T					
88. - Capital Income Builder Fund	A	Dividend	J	T					
89. 529 COLLEGE FUND #2 (H) -- Lines 90-95									
90. - Growth Fund of America	A	Dividend	J	T	Sold (part)	12/09/16	J	A	
91. - Bond Fund of America	A	Dividend	J	T	Sold (part)	12/09/16	J	A	
92. - American Balanced Fund	A	Dividend			Sold	03/21/16	J	A	
93. - Capital Income Builder Fund	A	Dividend	J	T	Sold (part)	12/09/16	J	A	
94. -Intermediate Bond Fund of America	A	Dividend	J	T	Buy	03/21/16	J		
95.					Sold (part)	12/09/16	J	A	
96. NORTHWESTERN BROKERAGE ACCT (H) Lines 97-102									
97. -Northwestern Mutual Single Premium Whole Life Insurance Policy	A	Dividend	M	T					
98. -Northwestern Mutual General Money Market Fund CI B	A	Int./Div.	J	T					
99. -EuroPacific Growth Fund	A	Dividend	J	T					
100. -Tax-Exempt Bond Fund of America	A	Dividend	J	T					
101. -Localshares Nashville Area ETF	A	Dividend	J	T					
102. -Vanguard Index Funds	A	Dividend	J	T					

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103. IRA #1 -- UBS (prior 401k) (H) -- Lines 104-120									
104. - Pace Money Market Investment Fund	A	Dividend	J	T					
105. - Alger Spectra Fund Class A	B	Dividend	L	T					
106. -Columbia Convertible Securities Fund		None			Sold	09/26/16	K		
107. -Delaware Value Fund	B	Dividend	L	T					
108. - First Eagle Overseas Fund Class A	B	Dividend	L	T					
109. - Voya Global Real Estate Fund	A	Dividend	K	T					
110. - Loomis Sayles Bond Fund Class Retail	B	Dividend	L	T					
111. - Lord Abbett Short Duration Income Fund Class A	B	Dividend			Sold	09/26/16	L		
112. - Natixis Vaughan Nelson Value Opp Fund	A	Dividend			Sold	09/26/16	K		
113. - Oppenheimer Intl Bond Fund Class A	A	Dividend	K	T					
114. - Principal Preferred Securities Fund	A	Dividend	J	T					
115. - Blackrock Global Allocation Fund Inc A	B	Dividend	L	T					
116. - Mainstay Marketfield Fund		None			Sold	03/21/16	K		
117. -Alliaanzgi Global Water Fund Class P	A	Dividend	K	T	Buy	09/26/16	K		
118. -Diamond Hill Small Mid Cap Fund Class I	A	Dividend	K	T	Buy	09/26/16	K		
119. -RMB Mendon Fin. Serv. Fund Class A	A	Dividend	K	T	Buy	03/21/16	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 ~\$250,000,001 - \$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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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)
120. -Double Line Total Return Fund Instl	A	Dividend	L	T	Buy	09/26/16	L		
121. IRA #2 -- UBS (prior 401k) (H) -- Lines 122-130									
122. -UBS Bank USA Deposit Account	A	Interest	J	T					
123. -Berkshire Hathaway Inc New CL B (Common Stock)		None	L	T					
124. -ConocoPhillips B/E Bonds	B	Interest	K	T					
125. -United Parcel Service DPB Inc B/E Bonds	B	Interest	K	T					
126. -Duke Energy Carolina Bonds	B	Interest	K	T					
127. -Coca Cola Co. Com NTS B/E Bonds	A	Interest	K	T					
128. -Anheuser-Busch Inbev WDR Bonds	A	Interest	K	T					
129. -Verizon Communications Bonds	B	Interest	K	T					
130. -Virtus Multi-Sector Short Term Bond Fund - Class C	C	Dividend	M	T					
131. OTHER MISC. INVESTMENTS (H) Lines 132-133									
132. -Maury County TN Farm	D	Rent	O	W					
133. -Center Hill Lake TN Undeveloped Real Estate		None	M	W					

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

Note 1: On line 10, there is an entry for a First Citizens Bank account. In the 2015 report, it showed a First Citizens Bank account being closed. However, it has come to the filer's attention that there were actually two First Citizens Bank accounts in existence in 2015. One account was indeed closed, but there is another account in which the filer has no ownership interest but filer's spouse has a limited interest in conjunction with a sibling. Since there is actually still a small reportable account in which filer's spouse holds an ownership interest, the line for First Citizens Bank has been added back to the 2016 report even though this particular bank was shown as having a closed account in 2015.

Note 2: Regarding lines 54 thru 64 and 67 thru 81: As requested by the Committee in a prior year, information is now provided on these lines regarding the investment components of the annuities in the Roth IRA accounts. The end-of-year reporting received by the filer reflects the gross values of each annuity -- not the individual amounts attributable to any particular investment (and the filer has no control over these investment decisions). The information available to filer shows only the percentages attributable to each investment vehicle in each annuity. Therefore those percentages have been reported on the lines immediately below each annuity. Since the end-of-year information is limited to the gross values for each annuity as a whole, the lines under columns B and C have been left blank for the investment components of the annuity, while the lines next to the overall annuity have been filled in with the appropriate cumulative information about the respective annuity's value, etc. based on the year-end information provided to the filer. It should also be noted that the filer does not receive information about how individual investment vehicles in the annuities perform, and the ultimate value of the annuities is tied to contractual death benefits, lifetime annuity payments, surrender value and other factors rather than simply the performance of specific investment components. Since no dividends or distributions are made to filer, and since the information available to filer merely shows the increase or decrease in overall value of the policies, Column B-1 next to each annuity has been left blank, and Column B-2 has been marked None.

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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
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