

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 10/07/2013
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 01/01/2012 to 12/31/2012
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. Shareholder/Attorney	Baker, Donelson, Bearman, Caldwell & Berkowitz (Employer/Law Firm prior to judicial appointment)
2. Trustee	Educational Trust ()
3. Director	Nashville Conflict Resolution Center (non-profit organization)
4. Director	Nashville Bar Association (non-profit organization)
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	Baker, Donelson, Bearman, Caldwell & Berkowitz (former employer/ lawfirm-earnings prior to judicial appointment)	\$253,510.00
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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- 11									
2. Bank of America (Accounts/CDs)	A	Interest	M	T					
3. Capstar Bank (Accounts/CDs)	D	Interest	N	T					
4. Civic Bank & Trust (Accounts/CDs)	D	Interest	M	T					
5. Community First Bank & Trust (Accounts/CDs)	D	Interest			Closed	12/10/12	N		
6. Cornerstone Financial (Accounts/CDs)	A	Interest	J	T					
7. Pinnacle National Bank (Accounts/CDs)	B	Interest	N	T					
8. Regions Bank (Accounts/CDs)	A	Interest			Closed	07/17/12	M		
9. SunTrust Bank (Accounts/CDs)	A	Interest			Closed	08/21/12	M		
10. First Citizens National Bank (Accounts/CDs)	A	Interest	N	T	Open	12/10/12	N		
11. Insubank (Accounts/CDs)	A	Interest	N	T	Open	08/21/12	M		
12. UBS BROKERAGE ACCT (H) -- Items 13 to 50 below									
13. America Movil S.A.B. De C.V. (Common Stock)	A	Dividend	J	T					
14. BHP Billiton Ltd. (Common Stock)	A	Dividend	K	T					
15. BP PLC (Common Stock)	A	Dividend	J	T					
16. EQT Corp (Common Stock)	A	Dividend	J	T					
17. Express Scripts Holding Co. (formerly Medco) (Common Stock)		None	J	T	Sold (part)	04/03/12	J	C	

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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	(1) Amount Code I (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. Exxon Mobil Corp. (Common Stock)	A	Dividend	K	T					
19. Frontier Communications Corp. (Common Stock)	A	Dividend			Sold	12/07/12	J	A	
20. Genuine Parts Co. (Common Stock)	A	Dividend	J	T					
21. Microsoft Corp. (Common Stock)	A	Dividend	J	T					
22. Pepsico Inc. (Common Stock)	A	Dividend	K	T					
23. Pfizer Inc. (Common Stock)	A	Dividend	J	T					
24. QEP RES Inc. (Common Stock)	A	Dividend	J	T					
25. Questar Corp. (Common Stock)	A	Dividend			Sold	08/24/12	J	A	
26. Rackspace Hosting Inc. (Common Stock)		None	J	T					
27. Verizon Communications Inc. (Common Stock)	A	Dividend	J	T					
28. Walmart de Mexico S.A.B. de CV (Common Stock)	A	Dividend	J	T					
29. Walmart Stores Inc. (Common Stock)	A	Dividend	J	T					
30. Walgreen Co. (Common Stock)	A	Dividend	J	T					
31. Alger Spectra Fund Class C (Mutual Fund)	A	Dividend	K	T					
32. American Funds Euro Pacific Growth Fun (Mutual Fund)	A	Dividend	K	T					
33. Templeton Global Income Fund (Mutual Fund)	B	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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☐ 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)
35. Metro Govt. Nashville/Davidson (Govt. Bonds)	B	Interest	K	T					
36. Metro Govt. Revenue Bonds (Govt. Bonds)	B	Interest	K	T					
37. Metro Govt. Nashville/Davidson (Govt. Bonds)	A	Interest	J	T					
38. Blount County Tenn. Public Bonds (Govt. Bonds)	C	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	K	T					
42. State of Texas Bonds #2 (Govt. Bonds)	A	Interest	K	T					
43. Metro Govt. Nashville Sinking Fund (Govt. Bonds)	B	Interest	L	T					
44. Knoxville Tenn. Waste Water Bonds (Govt. Bonds)	A	Interest	J	T					
45. New York Municipal Water Fin. Auth. (Govt. Bonds)	B	Interest	K	T					
46. Tennessee State Bonds SR (Govt. Bonds)	B	Interest	K	T					
47. Tennessee State School Bonds (Govt. Bonds)	B	Interest	L	T					
48. Texas A&M Univ. (Govt. Bonds)	B	Interest	K	T					
49. Williamson County TN Bonds (Govt. Bonds)	A	Interest			Redeemed	04/01/12	K	A	
50. UBS Money Market Account	A	Interest	J	T					
51. ROTH IRA -- Lines 52-55	A	Int./Div.	M	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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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)
52. -- Lincoln Life Annuity									
53. -- Nationwide Annuity									
54. -- Ohio National Annuity									
55. -- First Eagle Global Fund (Mutual Fund)					Buy (add'l)	08/31/12	J		
56. ROTH IRA [REDACTED] -- Lines 57-61	A	Int./Div.	N	T					
57. -- Genworth Life Annuity									
58. -- Lincoln Life Annuity									
59. -- Nationwide Annuity									
60. -- Ohio National Annuity									
61. -- First Eagle Global Fund (Mutual Fund)					Buy (add'l)	08/31/12	J		
62. EDUCATIONAL TRUST -- Lines 63-72	C	Int./Div.	L	T					
63. -- Alger Spectra Fund									
64. -- American Funds Euro Pacific Growth Fund									
65. -- Franklin Utilities Fund					Sold	08/24/12	J	A	
66. -- MFS Utilities Fund					Sold	08/24/12	J	A	
67. -- Royce Special Equity Fund									
68. -- Delaware Diversified Income Fund					Sold (part)	10/24/12	J	A	

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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. -- FT Templeton Global Bond Fund									
70. --American Funds Income Fund of America									
71. -- Blackrock Health Science Opportunities Fund					Buy	08/27/12	J		
72. -- Columbia Seligman Communications & Info Fund A					Buy	08/27/12	J		
73. 529 COLLEGE FUND #1 -- Lines 74-77	C	Int./Div.	K	T					
74. -- Growth Fund of America									
75. -- Bond Fund of America									
76. -- American Balanced Fund									
77. -- Capital Income Builder Fund									
78. 529 COLLEGE FUND #2 -- Lines 79-82	C	Int./Div.	K	T					
79. -- Growth Fund of America									
80. -- Bond Fund of America									
81. -- American Balanced Fund									
82. -- Capital Income Builder Fund									
83. NORTHWESTERN BROKERAGE ACCT (H) Lines 84-86									
84. Northwestern Mutual Single Premium Insurance/Annuity	A	Dividend	L	T					
85. Broward County FL School Bonds (Govt. Bonds)(Northwestern)	A	Interest			Sold	07/01/12	K	A	

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86.	Northwestern Mutual General Money Market Fund CI B	A	Int./Div.	K	T	Open	07/03/12	K	
87.	HARTFORD 401K PLAN Converted to IRA in 2012 Lines 88-91	D	Dividend						
88.	-- MFS Limited Maturity Fund					Sold	08/17/12	L	
89.	-- MFS Conservative Allocation Fund					Sold	08/17/12	L	
90.	-- MFS Moderate Allocation Fund					Sold	08/17/12	L	
91.	-- American Century Money Market Account					Sold	08/17/12	O	
92.	IRA #1 -- UBS -- CONVERTED 401k -- Lines 93-113	D	Int./Div.	N	T				
93.	-- Pace Money Market Investment Fund					Open	09/04/12	J	
94.	-- Alger Spectra Fund Class A					Buy	09/04/12	K	
95.	-- Columbia Acorn Fund					Buy	09/04/12	J	
96.	-- First Eagle Overseas Fund Class A					Buy	09/04/12	L	
97.	-- ING Global Real Estate Fund Class A					Buy	09/04/12	J	
98.	-- Vertus Premium Alpha Sector Fund A					Buy	09/04/12	K	
99.	-- Delaware Diversified Income Fund Class A					Buy	09/04/12	K	
100.	-- Loomis Sayles Bond Fund Class Retail					Buy	09/04/12	L	
101.	-- Lord Abbett Short Duration Income Fund Class A					Buy	09/04/12	K	
102.	-- Oppenheimer Intl Bond Fund Class A					Buy	09/04/12	K	

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103. -- TCW Emerging Markets Income Fund Class N					Buy	09/04/12	J		
104. -- Blackrock Global Allocation Fund Inc A					Buy	09/04/12	L		
105. IRA #2 -- UBS -- CONVERTED 401k -- Lines 108-116	B	Int./Div.	N	T					
106. -- UBS Bank USA Deposit Account					Open	08/28/12	J		
107. -- Berkshire Hathaway Inc New CL B					Buy	08/28/12	L		
108. -- ConocoPhillips B/E Bonds					Buy	08/29/12	K		
109. -- United Parcel Service DPB Inc B/E Bonds					Buy	08/29/12	K		
110. -- Duke Energy Carolina Bonds					Buy	08/29/12	K		
111. -- Coca Cola Co. Com NTS B/E Bonds					Buy	08/29/12	K		
112. -- Anheuser-Busch Inbev WDR Bonds					Buy	08/29/12	K		
113. -- Federated Short-Term Income Fund Class A					Buy	08/31/12	M		
114. -- Virtus Multi-Sector Short Term Bond Fund - Class C					Buy	09/13/12	M		
115. OTHER MISC. INVESTMENTS (H) Lines 116-117									
116. Maury County TN Farm ()	C	Rent	O	W					
117. Center Hill Lake TN Undeveloped Real Estate		None	M	W					

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

1. Lines 87-91 reflect a 401k account that was rolled over into an IRA in 2012. Since it is non-taxable, the information available from brokerage account statements does not reflect any specific amount of capital gain. The 401k account was made up of numerous employee contributions, employer contributions and employer matching funds over a period of multiple years on a tax-deferred basis, and therefore it would be virtually impossible to determine a basis figure for purposes of allocating gain. Accordingly, while all sales transactions involved in liquidating these funds for the rollover have been reported in columns D(1),(2) & (3), column D(4) was left blank in the absence of any accurate available information that would show actual gains as opposed to contributions.

2. In the initial disclosure filed last year and dated as of 07/31/12, there was an item listed at line #71 reflecting a UBS Money Market Account in the UBS Brokerage Account for the educational trust. That was incorrect, so there is no corresponding item listed on this year's report in that group of accounts.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Mashburn, Randal S.

Date of Report

10/07/2013

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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