

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/04/2018
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 01/01/2017 to 12/31/2017
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. 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

05/04/2018

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. 11/2017	University of Tennessee College of Law - teaching	\$3,300.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	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. Tennessee Bar Association	4/28/17 - 4/30/17	Gatlinburg, TN	seminar faculty	lodging, meals, transportation
2. National Conference of Bankruptcy Judges	3/15/17 - 3/16/17	Charleston, SC	professional association meeting	lodging
3. Mid-South Commercial Law Institute	11/29/17 - 12/1/17	Nashville, TN	seminar faculty	lodging, meals, tuition
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting
Bauknight, Suzanne H.

Date of Report
05/04/2018

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.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/04/2018

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)	03/28/17	J		
4.					Sold (part)	09/19/17	J	A	
5. -American Funds American Balanced Cl F1	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
6. -Capital Income Builder Cl F1	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
7. -Invesco Interm Mun Income	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
8. -Invesco Equally Weighted S&P 500 Cl A	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
9.					Sold (part)	09/19/17	J	A	
10. -Ishares Russell Mid Cap Growth ETF	A	Dividend	J	T	Sold (part)	09/19/17	J	A	
11. -Lord Abbett Short Duration Income Cl A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
12. -Oppenheimer Intl Growth Cl A	A	Dividend	J	T	Buy (add'l)	03/29/17	J		
13. -Oppenheimer Developing Markets Cl A	A	Dividend	J	T	Sold (part)	03/29/17	J	A	
14. -Powershares QQQ ETF	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
15.					Sold (part)	09/19/17	J	B	
16. -Prudential Global Real Estate Cl A	A	Dividend			Sold	03/28/17	J	A	
17. -Prudential Jennison MLP Cl A	A	Dividend			Buy (add'l)	03/28/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/04/2018

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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 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.					Sold	12/27/17	J	A	
19.	-Ridgeworth SEIX Floating Rate High Income Cl A (renamed Virtus SEIX)	A	Dividend		Buy (add'l)	03/28/17	J		
20.					Sold	09/19/17	J	A	
21.	-Wisdomtree Mid Cap Divident ETF	A	Dividend	J	T	Sold (part)	09/19/17	J	A
22.	-Pimco All Asset All Authority Cl A	A	Dividend	J	T	Buy (add'l)	03/28/17	J	
23.	-Invesco Int'l Growth Cl A	A	Dividend	J	T	Buy	03/28/17	J	
24.	-Powershares 1-30 Laddered Treasury ETF	A	Dividend	J	T	Buy	09/19/17	J	
25.	-Ishares Core S&P Small Cap ETF	A	Dividend	J	T	Buy	09/19/17	J	
26.	-Sierra Strategic Income CL	A	Dividend	J	T	Buy	09/20/17	J	
27.	-Sierra Core Retirement Income Cl A	A	Dividend	J	T	Buy	09/20/17	J	
28.	-Global X MLP & Energy Infrastructure		None	J	T	Buy	12/27/17	J	
29.	LPL Financial ROTH IRA #2 (H)								
30.	-Cash - Goldman Sachs	A	Interest	J	T				
31.	-Ishares Core S&P Total US Stock Market ETF	A	Dividend	J	T				
32.	-Blackrock Strategic Income Oppty Investors Cl A	A	Dividend	J	T				
33.	-Pimco All Asset All Authority Cl A	A	Dividend	J	T				
34.	Holston Methodist Fed'l CU (Cash Accounts)	A	Interest	K	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/04/2018

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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. 529 College: Rhode Island Hi Ed SVG CBF Age Aggressive Growth	A	Dividend	J	T					
36. LPL Financial ROTH IRA #1(H)									
37. -Cash - Goldman Sachs	A	Interest	J	T					
38. -Oppenheimer Developing Markets C1 A	A	Dividend	J	T	Sold (part)	03/29/17	J	A	
39. -PIMCO Income C1 A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
40. -Prudential Global Real Estate C1 A	A	Dividend			Sold	03/28/17	J	A	
41. -Ishares Russell Mid Cap Growth ETF	A	Dividend	J	T					
42. -Invesco Interm Term Mun Income C1 A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
43. -Lord Abbett Short Duration Income C1 A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
44. -Oppenheimer Int'l Growth C1 A	A	Dividend	J	T	Sold (part)	03/29/17	J	A	
45. -Prudential Invt 18 Jennison MLP C1 A	A	Dividend			Buy (add'l)	03/28/17	J		
46.					Sold	12/27/17	J	A	
47. -Pimco All Asset All Authority C1 A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
48. -Ridgeworth SEIX Floating Rate High Income C1 A (renamed Virtus SEIX)	A	Dividend			Buy (add'l)	03/28/17	J		
49.					Sold	09/19/17	J	A	
50. -Powershares QQQ ETF	A	Dividend	J	T	Sold (part)	09/19/17	J	A	
51. -Wisdomtree Mid Cap Divident ETF	A	Dividend	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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

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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)
52. -Invesco Equally Weighted S&P 500 CI A	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
53. -American Funds American Balanced CI A	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
54. -Capital Income Builder CI F1	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
55. -Invesco Int'l Growth CI A	A	Dividend	J	T	Buy	03/28/17	J		
56. -Powershares I-30 Laddered Treasury ETF	A	Dividend	J	T	Buy	09/19/17	J		
57. -Ishares Core S&P Small Cap	A	Dividend	J	T	Buy	09/19/17	J		
58. -Sierra Core Retirement CI A	A	Dividend	J	T	Buy	09/20/17	J		
59. -Sierra Strategic Income CI A	A	Dividend	J	T	Buy	09/20/17	J		
60. -Global X MLP & Energy Infrastructure		None	J	T	Buy	12/27/17	J		
61. 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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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 8 of 9

Name of Person Reporting

Bauknight, Suzanne H.

Date of Report

05/04/2018

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

05/04/2018

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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One Columbus Circle, N.E.
Washington, D.C. 20544