

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Baverman, Alan J.	2. Court or Organization Northern District of Georgia	3. Date of Report 11/25/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 1885 US Courthouse 75 Ted Turner Drive, SW Atlanta, GA 30303		
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.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2015

Self-employed real estate broker-agent and managing broker

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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.	Flagstar Bank	Mortgage on Rental Property # 2 Smyrna GA (Part VII Line 44)	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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. BROKERAGE ACCT Fid SEP IRA 090									
2. -Fid Govt MM (SPAXX)	A	Dividend	L	T					
3. -Synchrony Bank Retail CD (7/23/15)	A	Interest			Redeemed	07/23/15	J	A	See Part VIII, Note 1
4. -Synchrony Bank Retail CD 7/25/16	A	Interest	J	T					See Part VIII, Note 2
5. -Synchrony Bank Retail CD 7/24/17	A	Interest	J	T					See Part VIII, Note 3
6. -Barckays BK DEL CD (8/19)	A	Interest	L	T					
7. -FirstBank P R Santruce CD (11/17)	A	Interest	K	T					
8. -GE CAP Bk Retail CD (8/18)	A	Interest	K	T					
9. -Ally Bank CD (8/16)	A	Interest	K	T					
10. -Dreyfus Funds Standish GL Fixed Inc	A	Dividend	K	T					
11. -Manning & Napier Pro Blend Conserv Term Ser					Sold	01/23/15	J		
12. -PIMCO Inv Gr Corp Bond Instl	A	Dividend	J	T					
13. -PIMCO Foreign Inst SHS	A	Dividend	J	T					
14. -Israel ST \$BD 7TH JU	A	Interest	K	T					
15. -Fidelity MSCI Health Care Index ETF	A	Dividend	J	T					
16. -Fidelity Select Health Care Index	A	Dividend	J	T					
17. -Fidelity Select Pharmaceuticals Index	A	Distribution	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 = \$250,001 - \$500,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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 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. -Fidelity Select Biotechnology Index	A	Distribution	J	T					
19. -iShares TR JPMorgan USD Emerging Mkts Bd Fd	A	Dividend			Sold	08/24/15	J		
20. -iShares TR Dow Jones US RE Index FD					Sold	01/23/15	J	A	
21. -iShares Core S&P Total US St Mkt ETF	A	Dividend	J	T					
22. -iShares U S Real Estate ETF (IYR)	A	Dividend	J	T					See Part VIII, note 6
23. -Vanguard Sector Ind FDS ETF (VIS)	A	Dividend	J	T	Buy	08/27/15	J		
24. BROKERAGE ACCT Fid IRA 350									
25. -Fidelity Govt MM	A	Dividend	L	T					
26. -BMW BK N. Am. Utah	A	Interest			Redeemed	05/21/15	J		
27. -MUFG UnionBank NA CD IDX ZERO (form. Union Bank CD)	A	Interest	K	T					
28. -iShares Core Total US BD Mkt ETF	A	Dividend	J	T					
29. -Janus Short Term Bond Fund Class T	A	Dividend			Sold	08/20/15	K	A	
30. -PIMCO Inv Gr Corp Bond Instl (PIGIX)	A	Dividend	J	T					
31. -PIMCO Foreign Inst SHS (PFORX)	A	Dividend	J	T					
32. -Fidelity Select Materials Portfolio	A	Dividend	J	T					
33. -Fidelity Select Materials Portfolio					Buy (add'l)	09/24/15	J		
34. -Fidelity Select Software & IT SRVC	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 \$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 6 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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)

35. -Fidelity Select Chemicals	A	Dividend	J	T					
36. -Fidelity Select Chemicals					Buy (add'l)	09/24/15	J		
37. -Fidelity MSCI Info Tech Ind ETF (FTEC)	A	Dividend	K	T	Buy	04/22/15	K		
38. -Israel ST \$8D JUB 05/19	A	Interest	K	T					
39. -Vanguard Sector Index FDS Vanguard Utils Viper	A	Dividend	K	T					
40. BROKERAGE ACCT Fid X19									
41. -Cash Acct (Fedlity)	A	Interest	J	T					
42. RENTAL PROPERTY									
43. -# 1 Atlanta, DeKalb Co., Ga. (2015 Assessment: \$259,500)	E	Rent	N	S					
44. -#2 Smyrna, Cobb Co., Ga. (2015 Assessment: \$129,000)	D	Rent	M	S					
45. FAMILY S CORPORATION (F1)	C	Distribution	N	T					
46. -American Funds Fundamental Investors- Class A (FI-A)	A	Dividend	K	T					
47. -American Funds WaMu Investors Fund - Class A (WMIF-A)	E	Dividend	N	T					
48. -American Funds Inv. Co. of Amer. A (ICA- A)	A	Dividend	J	T					
49. -American Funds Money Market Fund-A (MMF-A)	A	Dividend	J	T					
50. -American Funds New Economy Fund-A (NEF-A)	A	Dividend	J	T					
51. -American Funds Smallcap World Fund-A (SCWF-A)	A	Distribution	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	
	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 7 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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)
52. -Trust Bank Account (SunTrust)	B	Interest	K	T					
53. BANK ACCOUNTS									
54. -North Georgia Bank 1	A	Interest	M	T					
55. -North Georgia Bank 2	A	Interest	J	T					
56. -North Georgia Bank 3	A	Interest	J	T					
57. -North Georgia Bank 4	A	Interest	L	T					
58. -North Georgia Bank 5	A	Interest	K	T					
59. -SunTrust (MMA)	A	Interest			Closed	06/01/15	J		
60. -SunTrust I	A	Interest	J	T					
61. -SunTrust II	A	Interest			Closed	06/01/15	J		
62. -SunTrust III	A	Interest			Closed	06/01/15	J		
63. -Chase I	A	Interest	J	T					
64. -Chase II	A	Interest	J	T	Open	06/01/15	J		
65. -Bank of America									See Part VIII, Line 4
66. TRUST BROKERAGE ACCOUNT									
67. -E-Trade cash balance	A	Interest	J	T					
68. -Nuveen Preferred and Conv. Income Fund	B	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
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 8 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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)
69. BELL & HOWELL RETIREMENT (I) SAVINGS PLAN NO. 2					Closed	05/31/15	J		See Part VIII, Line 5
70. -Fidelity Money Market (FDRXX)	A	Dividend					J		
71. -Fidelity Asset Mgr (FASMX)	A	Dividend							
72. -iShares Core S&P Total US Stock Mkt (ITOT)	A	Dividend							
73. BELL & HOWELL RETIREMENT (II) SAVINGS PLAN NO. 3									
74. -Fidelity Money Market (FDRXX)	A	Dividend	J	T	Distributed (part)	12/01/15	J		
75. -Fidelity Asset Mgr (FASMX)	A	Dividend	J	T					
76. -iShares Core S&P Total US Stock Mkt (ITOT)	A	Dividend	J	T					
77. BROKERAGE ACCT Fid IRA BDA									
78. -Fidelity Govt MM	A	Dividend	J	T					
79. -iShares Core S&P Total US Stock Mkt ETF	A	Dividend	J	T					
80. -James Balanced: Golden Rainbow Fund	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
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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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

1. Beginning in the May 1, 2015 broker's statement, the GE Money Bank Salt Lake UT S7 CD was now referred to as Synchrony Bank Retail CD 7/23/15
2. Beginning in the May 1, 2015 broker's statement, the GE Money Bank Salt Lake UT T5 CD was now referred to as Synchrony Bank Retail CD 7/25/16
3. Beginning in the May 1, 2015 broker's statement, the GE Money Bank Salt lake UT U2 CD was now referred to as Synchrony Bank Retail CD 7/24/17
4. This was an adult child's account that we had access to in order to deposit funds when the child was abroad.
5. This is an adult child's account that we had access and made decisions on until 5/31/2015.
6. This item was left off of my 2013 and 2014 reports by accident. I mistakenly confused this asset with IShares TR Dow Jones US Real Estate Index Fd, which I wrongly thought was the predecessor-in-name of this asset. So, when I bought this asset on July 2, 2013 (value code J), I inadvertently did not report that transaction. I repeated the error in 2014 and in 2015 (when the IShares TR Dow Jones was sold and I listed Ishares US Real Estate ETF without checking to see how it was (or in this case was not) earlier reported.)

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Baverman, Alan J.

Date of Report

11/25/2016

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/ Alan J. Baverman

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