

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Baverman, Alan J.                                                                                                                    | <b>2. Court or Organization</b><br><br>Northern District of Georgia                                                                                                                                                                                                                      | <b>3. Date of Report</b><br><br>05/12/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Magistrate Judge, full time                                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>1885 US Courthouse<br>75 Spring Street, SW<br>Atlanta, GA 30303                                                                                               |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. |  |

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Name of Person Reporting

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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.)*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. 2013

Self-employed real estate broker-agent

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. \_\_\_\_\_

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**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 | L                 |
| 2. |                 |                                 |                   |
| 3. |                 |                                 |                   |
| 4. |                 |                                 |                   |
| 5. |                 |                                 |                   |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. BROKERAGE ACCT Fid SEP IRA 090                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. -Fid Govt MM (prior: Fed. Prime Obligs.<br>Trust Sh) (MM)(now                                                            | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. -GNMA Series 2003-40                                                                                                     | A                                       | Distribution                                  |                                                 |                                           | Expired                                         | 06/20/13                | J                               | A                              |                                                                   |
| 4. -GEMoney Bank Salt Lake City UT S7                                                                                       | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. -GEMoney Bank Salt Lake City UT T5                                                                                       | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. -GEMoney Bank Salt Lake City UT U2                                                                                       | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. -Dreyfus Funds Standish GL Fixed Inc                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. -Manning & Napier Pro Blend Conserv<br>Term Ser                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. -iShares Barclays US Agg BD FD (now<br>iShares Core Total US Bnd Mket ET                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/19/13                | J                               | A                              |                                                                   |
| 10. -Eaton Vance Atl Cap SMID CAP FD 1                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 11. -Federated Strategic Value Dividend Cl 1                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | A                              |                                                                   |
| 12. -Manning & Napier World Oppt Serv Cl A                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | A                              |                                                                   |
| 13. -Oppenheimer Dev. Markets FD Cl Y                                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 14. -T Rowe Pice Inst Large Cap Growth                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 15. -The Hartford Div & Gr FD Cl 1                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | A                              |                                                                   |
| 16. -PIMCO Inv Gr Corp Bond Instl                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. -PIMCO Low Dur Inst                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                       |                                                                             |                                                        |                                                            |                                                                |                         |
|-----------------------|-----------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes: | A = \$1,000 or less<br>(See Columns B1 and D4)                              | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000    | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000           | E = \$15,001 - \$50,000 |
| 2. Value Codes        | F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>(See Columns C1 and D3) | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000   |                         |
| 3. Value Method Codes | N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000               | Q = Appraisal<br>U = Book Value                        | R = Cost (Real Estate Only)<br>V = Other                   | P4 = More than \$50,000,000<br>S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                  |   |              |   |   |          |          |   |   |  |
|--------------------------------------------------|---|--------------|---|---|----------|----------|---|---|--|
| 18. -PIMCO Foreign Inst SHS                      | A | Dividend     | J | T |          |          |   |   |  |
| 19. -Templeton Global Bond Adv                   | A | Dividend     |   |   | Sold     | 01/15/13 | J | A |  |
| 20. -Eaton Vance Floating Rate Class I           | A | Dividend     |   |   | Sold     | 01/15/13 | J | A |  |
| 21. -Neuberger Berman High Inc Bond Inst         | A | Dividend     |   |   | Sold     | 11/14/13 | J | A |  |
| 22. -Bank Baroda New York NY Fixed Coupon        | A | Interest     |   |   | Redeemed | 03/26/13 | J | A |  |
| 23. -Market Vectors ETF Trust Biotech ETF        |   | None         |   |   | Sold     | 03/18/13 | J | A |  |
| 24. -iShares Core S&P 500 ETF                    | A | Dividend     |   |   | Sold     | 03/15/13 | J | A |  |
| 25. -Israel ST \$BD 7TH JU                       | A | Interest     | K | T | Buy      | 02/05/13 | K |   |  |
| 26. -iShares TR Russell 3000 Index FD            |   |              |   |   | Buy      | 03/14/13 | J |   |  |
| 27. -iShares TR Russell 3000 Index FD            |   | None         |   |   | Sold     | 04/16/13 | J | A |  |
| 28. -Fidelity MSCI Health Care Index ETF         | A | Dividend     | J | T | Buy      | 11/21/13 | J |   |  |
| 29. -Fidelity Select Health Care Index           | A | Dividend     | J | T | Buy      | 12/12/13 | J |   |  |
| 30. -Fidelity Select Pharmaceuticals Index       | A | Distribution | J | T | Buy      | 12/12/13 | J |   |  |
| 31. -Fidelity Select Biotechnology Index         |   | None         | J | T | Buy      | 12/12/13 | J |   |  |
| 32. -iShares TR MSCI Emerging Mkts Index Fd.     | A | Dividend     |   |   | Buy      | 06/13/13 | J |   |  |
| 33. -iShares TR MSCI Emerging Mkts Index FD      |   |              |   |   | Sold     | 09/23/13 | J | A |  |
| 34. -iShares TR JPMorgan USD Emerging Mkts Bd Fd | A | Dividend     | J | T | Buy      | 06/25/13 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                             |   |          |   |   |                          |          |   |   |                               |
|-----------------------------------------------------------------------------|---|----------|---|---|--------------------------|----------|---|---|-------------------------------|
| 35. -iShares TR Dow Jones US RE Index FD                                    | A | Dividend | J | T | Buy                      | 06/25/13 | J |   |                               |
| 36. -Organovo Hldgs Inc. Com                                                |   |          |   |   | Open                     | 10/14/13 | J |   | trferred from Fid IRA 740     |
| 37. -Organovo Hldgs Inc. Com                                                |   |          |   |   | Sold                     | 11/15/13 | J | A |                               |
| 38. BROKERAGE ACCT Fid IRA 740                                              |   |          |   |   | Closed                   | 11/01/13 |   |   | trfrd to Fid SEP IRA 090      |
| 39. -Fidelity Govt MM                                                       | A | Dividend |   |   | Merged<br>(with line 2)  | 11/01/13 | J |   |                               |
| 40. -iShares TR MSCIEAFE Index FD                                           |   |          |   |   | Sold                     | 02/21/13 | J | A |                               |
| 41. -iShares TR Russell 2000 Growth Index FD                                |   |          |   |   | Sold                     | 02/21/13 | J | A |                               |
| 42. -iShares TR Russell 3000 Index FD                                       |   |          |   |   | Sold                     | 02/21/13 | J | A |                               |
| 43. -iShares TR Dow Jones US RE Index FD                                    |   |          |   |   | Sold                     | 03/06/13 | J | A |                               |
| 44. -iShares TR Dow Jones EPAC Select Div<br>Index FD                       |   |          |   |   | Sold                     | 02/21/13 | J | A |                               |
| 45. -Organovo Hldgs Inc Com                                                 |   |          |   |   | Buy                      | 07/29/13 | J |   |                               |
| 46. -Organovo Hldgs Inc. Com                                                |   |          |   |   | Merged<br>(with line 36) | 10/14/13 | J |   | trferred to Fid IRA 090       |
| 47. BROKERAGE ACCT Fid IRA 350                                              |   |          |   |   |                          |          |   |   |                               |
| 48. -Fidelity Govt MM (was Feder. Prime<br>Obligations Trust Sh)            | A | Dividend | M | T |                          |          |   |   |                               |
| 49. -BMW BK N. Am. Utah                                                     | A | Interest | J | T |                          |          |   |   |                               |
| 50. -Union Bank CD                                                          | A | Interest | K | T |                          |          |   |   |                               |
| 51. -iShares Barclays US Agg BD FD (now<br>iShares Core Total US BD Mkt ETF | A | Dividend | J | T | Open                     | 10/15/13 | J |   | tfr from Fid IRA 154<br>10/15 |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. -Federated Strategic Value Dividend Cl 1                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | B                              | "" ""                                                             |
| 53. -Manning & Napier World Oppt Serv Cl A                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | A                              | "" ""                                                             |
| 54. -Neuberger Berman High Inc Bond Inst                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | A                              | "" ""                                                             |
| 55. -The Hartford Div & Gr FD Cl 1                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/14/13                | J                               | B                              | "" ""                                                             |
| 56. -Janus Short Term Bond Fund Class T                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. -PIMCO Inv Gr Corp Bond Instl                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 10/15/13                | J                               |                                | tfr from Fid IRA 154<br>10/15                                     |
| 58. -PIMCO Low Dur Inst                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 10/15/13                | J                               |                                | "" ""                                                             |
| 59. -PIMCO Foreign Inst SHS                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 10/15/13                | J                               |                                | "" ""                                                             |
| 60. BROKERAGE ACCT Fid SEP IRA 154                                                                                          |                                         |                                               |                                                 |                                           | Closed                                          | 10/15/13                |                                 |                                | tfer to Fid IRA 350                                               |
| 61. -Fidelity Govt MM (was Feder. Prime<br>Oblig. Trust SH)                                                                 | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 48)                        |                         |                                 |                                | "" ""                                                             |
| 62. -iShares Barclays US Agg BD FD (now<br>iShares Core Total US BD Mkt ETF                                                 | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 51)                        |                         |                                 |                                | "" ""                                                             |
| 63. -Absolute Strategies Institutional                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 64. -Eaton Vance Atl Cap SMID CAP FD 1                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               |                                |                                                                   |
| 65. -Federated Strategic Value Dividend Cl 1                                                                                | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 52)                        |                         |                                 |                                | tfer to Fid IRA 350                                               |
| 66. -Manning & Napier World Oppt Serv Cl A                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 53)                        |                         |                                 |                                | "" ""                                                             |
| 67. -Oppenheimer Dev. Markets FD Cl Y                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 68. -T Rowe Pice Inst Large Cap Growth                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |

|                                                  |                                                                     |                                                        |                                                                |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------|--------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                     | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000        | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000                   | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000     | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | P3 = \$25,000,001 - \$50,000,000<br>Q = Appraisal<br>U = Book Value | R = Cost (Real Estate Only)<br>V = Other               | P4 = More than \$50,000,000<br>S = Assessment<br>W = Estimated | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. -Eaton Vance Floating Rate Cl 1                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 70. -PIMCO Inv Gr Corp Bond Instl                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 57)                        |                         |                                 |                                | tfer to Fid IRA 350                                               |
| 71. -PIMCO Low Dur Inst                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 58)                        |                         |                                 |                                | "" ""                                                             |
| 72. -PIMCO Foreign Inst SHS                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 59)                        |                         |                                 |                                | "" ""                                                             |
| 73. -Templeton Global Bond Adv                                                                                              |                                         |                                               |                                                 |                                           | Sold                                            | 01/15/13                | J                               | A                              |                                                                   |
| 74. -Neuberger Berman High Inc Bond Inst                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 54)                        |                         |                                 |                                | tfr to Fid IRA 350                                                |
| 75. -The Hartford Div & Gr FD Cl 1                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 55)                        |                         |                                 |                                | "" ""                                                             |
| 76. -Janus Short Term Bond Fund Class T                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 56)                        |                         |                                 |                                | "" ""                                                             |
| 77. -iShares TR MSCI Emerging Mkts Ind. FD                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/17/13                | J                               |                                |                                                                   |
| 78. -iShares TR MSCI Emerging Mkts Ind. FD                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 09/23/13                | J                               | A                              |                                                                   |
| 79. BROKERAGE ACCT Fid X19                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. -Cash Acct (before: Vangrd Short Term Tax Exempt                                                                        | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. RENTAL PROPERTY                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 82. -# 1 [REDACTED] (2013<br>Assessment: \$159,500)                                                                         | E                                       | Rent                                          | M                                               | S                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. -#2 [REDACTED] (2013<br>Assessment: \$100,880)                                                                          | D                                       | Rent                                          | M                                               | S                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. FAMILY S CORPORATION (F1)                                                                                               | C                                       | Distribution                                  | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. -American Funds Fundamental Investors-<br>Class A                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                            |   |          |   |   |     |          |   |  |               |
|------------------------------------------------------------|---|----------|---|---|-----|----------|---|--|---------------|
| 86. -American Funds WaMu Investors Fund - Class A (WMIF-A) | B | Dividend | M | T | Buy | 02/01/13 | M |  | exch fr MMF-A |
| 87. -AF Short-Term Tax-Exempt Bond Fund A (STEX-A)         | A | Dividend | J | T |     |          |   |  |               |
| 88. -American Funds Inv. Co. of Amer. A (ICA-A)            | A | Dividend | J | T |     |          |   |  |               |
| 89. -American Funds Money market Fund-A                    |   | None     | K | T |     |          |   |  |               |
| 90. -Trust Bank Account (SunTrust)                         | B | Interest | K | T |     |          |   |  |               |
| 91. BANK ACCOUNTS                                          |   |          |   |   |     |          |   |  |               |
| 92. -North Georgia Bank 1                                  | A | Interest | M | T |     |          |   |  |               |
| 93. -North Georgia Bank 2                                  | A | Interest | J | T |     |          |   |  |               |
| 94. -North Georgia Bank 3                                  | A | Interest | J | T |     |          |   |  |               |
| 95. -North Georgia Bank 4                                  | A | Interest | L | T |     |          |   |  |               |
| 96. -North Georgia Bank 5                                  | A | Interest | K | T |     |          |   |  |               |
| 97. -SunTrust (MMA)                                        | A | Interest | L | T |     |          |   |  |               |
| 98. -SunTrust I                                            | A | Interest | J | T |     |          |   |  |               |
| 99. -SunTust II                                            | A | Interest | J | T |     |          |   |  |               |
| 100. -SunTrust III                                         | A | Interest | J | T |     |          |   |  |               |
| 101. -Chase                                                | A | Interest | J | T |     |          |   |  |               |
| 102. -Bank of America                                      | A | Interest | J | T |     |          |   |  |               |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                          |   |          |   |   |                       |          |   |   |  |
|----------------------------------------------------------|---|----------|---|---|-----------------------|----------|---|---|--|
| 103. TRUST BROKERAGE ACCOUNT                             |   |          |   |   |                       |          |   |   |  |
| 104. -E-Trade cash balance                               | A | Interest | J | T |                       |          |   |   |  |
| 105. -Nuveen Preferred and Conv. Income Fund             | B | Dividend | K | T |                       |          |   |   |  |
| 106. BELL & HOWELL RETIREMENT (I)<br>SAVINGS PLAN NO. 2  |   |          |   |   |                       |          |   |   |  |
| 107. -Fidelity Money Market (FDRXX)                      | A | Dividend | J | T | Distributed<br>(part) | 11/29/13 | J |   |  |
| 108. -iShares Intl Dividend EFT                          |   | None     |   |   | Sold                  | 02/15/13 | J | A |  |
| 109. -iShares Russell 2000 Growth EFT                    |   | None     |   |   | Sold                  | 02/15/13 | J | A |  |
| 110. -Fidelity Asset Mgr (FASMX)                         | A | Dividend | J | T | Buy                   | 04/03/13 | J |   |  |
| 111. BELL & HOWELL RETIREMENT (II)<br>SAVINGS PLAN NO. 3 |   |          |   |   |                       |          |   |   |  |
| 112. -Fidelity Money Market (FDRXX)                      | A | Dividend | J | T | Distributed<br>(part) | 11/29/13 | J |   |  |
| 113. -iShares Intl Dividend EFT                          |   | None     |   |   | Sold                  | 02/15/13 | J | A |  |
| 114. -iShares Russell 2000 Growth EFT                    |   | None     |   |   | Sold                  | 02/15/13 | J | A |  |
| 115. -Fidelity Asset Mgr (FASMX)                         | A | Dividend | J | T | Buy                   | 04/03/13 | J |   |  |
| 116. Fidelity JRB 641                                    |   |          |   |   | Open                  | 02/08/13 | J |   |  |
| 117. -Savings Acct                                       | A | Interest | J | T | Open                  | 02/08/13 | J |   |  |
| 118. BROKERAGE ACCT Fid IRA BDA                          |   |          |   |   |                       |          |   |   |  |
| 119. -Fidelity Govt MM                                   | A | Dividend | K | T | Distributed<br>(part) | 03/28/13 | J |   |  |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 3. Value Method Codes<br>(See Column C2)         | Q ~Appraisal<br>U ~Book Value                                                      | R ~Cost (Real Estate Only)<br>V ~Other               | S ~Assessment<br>W ~Estimated                                                          | T ~Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Transamerica Life Ins. Annuity (thru power of attorney)                                                                | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                | no transactions                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Baverman, Alan J.

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

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Name of Person Reporting

Baverman, Alan J.

Date of Report

05/12/2014

## 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