

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/13/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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. Power of Attorney/Trustee	for [REDACTED]
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Self-employed
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.				
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.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. SCHWAB CONTR IRA #2									
2. -Schwab Bank Sweep	C	Int./Div.	K	T					
3. -Schwab Value Advantage (SWVXX)	A	Interest	L	T					
4. -BNY Mellon GL Fixed Inc. (SDGIX)	A	Dividend	K	T					
5. -Barclays Bank DEL CD (8/19)	A	Interest			Matured	08/20/19	L	A	
6. -Invesco S&P 500 Equal Weig HC ETF (RYH)	A	Dividend	J	T					
7. -iShares U S Real Estate ETF (IYR)	A	Dividend	J	T					
8. -PIMCO Intl Bond US (PFORX)	A	Dividend	J	T					
9. -PIMCO Inv Gr Corp Bond Instl (PIGIX)	A	Dividend	J	T					
10. -Vanguard Sector Ind FDS ETF (VIS)	A	Dividend	J	T					
11. -Vanguard Health Care ETF (VHT)	A	Dividend	J	T					
12. -BANK OZK CD 2.45% (due 5/25/20)	A	Interest	J	T	Buy	05/28/19	J		
13. -BMO HARRIS BANK CD 2.5% (due 6/1/20)	A	Interest	J	T	Buy	05/31/19	J		
14. -Goldman Sachs Bank CD 2.45% (due 6/7/21)	A	Interest	J	T	Buy	06/05/19	J		
15. SCHWAB CONTR IRA #3									
16. -Schwab Bank Savings Sweep	A	Interest	J	T					
17. -Ch Schwab US REIT ETF (SCHH)	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	

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	01/17/19	J		
19. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	02/20/19	J		
20. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	03/19/19	J		
21. -Schwab Emerging Mkts Equity ETF (SCHE)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
22. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/20/19	J		
23. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/26/19	J		
24. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/19/19	J		
25. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/26/19	J		
26. -Schwab Emerging Mkts Equity ETF (SCHE)					Sold (part)	04/04/19	J	A	
27. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/23/19	J		
28. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/28/19	J		
29. -Schwab Funda EMG Mktts Large ETF IV (FNDE)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
30. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	01/25/19	J		
31. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	02/20/19	J		
32. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	02/26/19	J		
33. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	03/19/19	J		
34. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	03/26/19	J		

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35. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Sold (part)	04/04/19	J	B	
36. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	08/28/19	J		
37. -Schwab Fundamental INL Large COM ETF (FNDF)	A	Dividend	K	T	Buy (add'l)	01/17/19	J		
38. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	01/25/19	J		
39. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	02/20/19	J		
40. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	02/26/19	J		
41. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	03/19/19	J		
42. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	03/26/19	J		
43. -Schwab Fundamental INL Large COM ETF (FNDF)					Sold (part)	04/04/19	J	B	
44. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	05/23/19	J		
45. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	07/15/19	J		
46. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	07/23/19	J		
47. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	08/28/19	J		
48. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	11/29/19	J		
49. -Schwab Fundamental INTl smal COM ETF (FNDC)	A	Dividend	J	T	Buy (add'l)	01/17/19	J		
50. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	01/25/19	J		
51. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	02/20/19	J		

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52. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	02/26/19	J		
53. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	03/19/19	J		
54. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	03/26/19	J		
55. -Schwab Fundamental INTl smal COM ETF (FNDC)					Sold (part)	04/04/19	J	B	
56. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	07/23/19	J		
57. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	10/28/19	J		
58. -Schwab Fundamental US Large ETF IV (FNDX)	A	Dividend	K	T					
59. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	01/25/19	J		
60. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	02/15/19	J		
61. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	02/26/19	J		
62. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	03/19/19	J		
63. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	03/26/19	J		
64. -Schwab Fundamental US Large ETF IV (FNDX)					Sold (part)	04/04/19	J	B	
65. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	07/15/19	J		
66. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	08/28/19	J		
67. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	10/28/19	J		
68. -Schwab Fundamental US Small Com ETF (FNDA)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		

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69. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/26/19	J		
70. -Schwab Fundamental US Small Com ETF (FNDA)					Sold (part)	04/04/19	J	A	
71. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/15/19	J		
72. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/28/19	J		
73. -Schwab Int'l Equity ETF (SCHF)	A	Dividend	J	T					
74. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	01/17/19	J		
75. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	01/25/19	J		
76. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	02/20/19	J		
77. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	02/26/19	J		
78. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	03/19/19	J		
79. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	03/26/19	J		
80. -Schwab Int'l Equity ETF (SCHF)					Sold (part)	04/04/19	J	A	
81. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	07/15/19	J		
82. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	07/23/19	J		
83. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	09/26/19	J		
84. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	11/29/19	J		
85. -Schwab Int'l Small Cap Eqty ETF (SCHC)	A	Dividend	J	T					

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86. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	01/25/19	J		
87. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	02/26/19	J		
88. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/19/19	J		
89. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/26/19	J		
90. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Sold (part)	04/04/19	J	A	
91. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	09/26/19	J		
92. -Schwab US Large CAP ETF (SCHX)	A	Dividend	K	T					
93. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	01/17/19	J		
94. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	01/25/19	J		
95. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	02/26/19	J		
96. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	03/19/19	J		
97. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	03/26/19	J		
98. -Schwab US Large CAP ETF (SCHX)					Sold (part)	04/04/19	J	A	
99. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	08/28/19	J		
100. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	10/28/19	J		
101. -Schwab US Small CAP ETF (SCHA)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
102. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	03/26/19	J		

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

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Baverman, Alan J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. -Schwab US Small CAP ETF (SCHA)					Sold (part)	04/04/19	J	A	
104. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	07/23/19	J		
105. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	08/28/19	J		
106. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	09/26/19	J		
107. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	10/28/19	J		
108. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)	A	Dividend	J	T					
109. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	01/25/19	J		
110. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	02/26/19	J		
111. -iShares Gold ETF (IAU)			J	T	Buy	04/04/19	J		
112. -iShares Gold ETF (IAU)					Buy (add'l)	04/18/19	J		
113. -iShares Gold ETF (IAU)					Buy (add'l)	11/29/19	J		
114. -Schwab Intermediate Term US Treas ETF (SCHR)	A	Dividend	K	T	Buy	04/04/19	J		
115. -Schwab Intermediate Term US Treas ETF (SCHR)					Buy (add'l)	07/15/19	J		
116. -Schwab Intermediate Term US Treas ETF (SCHR)					Buy (add'l)	07/23/19	J		
117. -Schwab Intermediate Term US Treas ETF (SCHR)					Buy (add'l)	09/26/19	J		
118. -Schwab Intermediate Term US Treas ETF (SCHR)					Buy (add'l)	10/28/19	J		
119. -Schwab Intermediate Term US Treas ETF (SCHR)					Buy (add'l)	11/29/19	J		

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. -Schwab US TIPS ETF (SCHP)	A	Dividend	K	T	Buy	04/04/19	K		
121. -Schwab US TIPS ETF (SCHP)					Buy (add'l)	07/15/19	J		
122. -Schwab US TIPS ETF (SCHP)					Buy (add'l)	09/26/19	J		
123. -Schwab US TIPS ETF (SCHP)					Buy (add'l)	10/28/19	J		
124. -Schwab US TIPS ETF (SCHP)					Buy (add'l)	11/29/19	J		
125. -SPDR Blmbrg Brcly EMG Mkt LCL ETF (EBND)	A	Dividend	J	T	Buy	04/04/19	J		
126. -SPDR Blmbrg Brcly EMG Mkt LCL ETF (EBND)					Buy (add'l)	10/28/19	J		
127. -SPDR Blmbrg Brcly EMG Mkt LCL ETF (EBND)					Buy (add'l)	11/29/19	J		
128. -Vanguard Mortgage Backed Sec ETF (VMBS)	A	Dividend	K	T	Buy	04/04/19	K		
129. -Vanguard Mortgage Backed Sec ETF (VMBS)					Buy (add'l)	07/15/19	J		
130. -Vanguard Mortgage Backed Sec ETF (VMBS)					Buy (add'l)	07/23/19	J		
131. -Vanguard Mortgage Backed Sec ETF (VMBS)					Buy (add'l)	09/26/19	J		
132. -Vanguard Mortgage Backed Sec ETF (VMBS)					Buy (add'l)	10/28/19	J		
133. -Vanguard Mortgage Backed Sec ETF (VMBS)					Buy (add'l)	11/29/19	J		
134. -Xtrackers USD High Yield Cor Bnd ETF (HYLB)	A	Dividend	J	T	Buy	04/04/19	J		
135. -Xtrackers USD High Yield Cor Bnd ETF (HYLB)					Buy (add'l)	07/23/19	J		
136. -Xtrackers USD High Yield Cor Bnd ETF (HYLB)					Buy (add'l)	10/28/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Baverman, Alan J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. -Xtrackers USD High Yield Cor Bnd ETF (HYLB)					Buy (add'l)	11/29/19	J		
138. -Xtrackers Inter RE ETF (HAUZ)	A	Dividend	J	T	Buy	07/23/19	J		
139. -Xtrackers Inter RE ETF (HAUZ)					Buy (add'l)	11/29/19	J		
140. -iShares Int'l Dev RI Est ETF (IFGL)					Buy	04/18/19	J		
141. -iShares Int'l Dev RI Est ETF (IFGL)					Sold	05/23/19	J	A	
142. -SPDR Intrmtdt TRM Crprate Bnd ETF (SPIB)	A	Dividend	J	T	Buy	04/18/19	J		
143. -SPDR Intrmtdt TRM Crprate Bnd ETF (SPIB)					Buy (add'l)	11/29/19	J		
144. SCHWAB SEP IRA #9	A	Interest	J	T	Open	04/10/19	J		
145. SCHWAB IRA CONTRIB #4									
146. -Deposit Account	A	Interest	J	T					
147. -Israel ST \$8D JUB 05/19	A	Interest			Matured	05/02/19	K	A	
148. -Vanguard Sector Index FDS Vanguard Utils Viper (VPU)	A	Dividend	K	T					
149. SCHWAB IRA CONTRIB #5									
150. -Total Schwab Bank Savings Sweep	A	Interest	J	T					
151. -Ch Schwab US REIT ETF (SCHH)	A	Dividend	J	T					
152. -Global X MLP ETF (MLPA)	A	Dividend	J	T	Buy (add'l)	07/11/19	J		
153. -iShares Intl Dev RE ETF (IFGL)	A	Dividend			Sold	05/23/19	J	A	

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

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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)
154. -Invesco Senior Loan ETF (BKLN)	A	Dividend	J	T	Buy (add'l)	07/11/19	J		
155. -Schwab Intermediate Term US TRS ETF: (SCHR)	A	Dividend	J	T	Buy (add'l)	07/11/19	J		
156. -Schwab US Dividend Equity ETF: (SCHD)	A	Dividend	K	T					
157. -Schwab US TIPS ETF (SCHP)	A	Dividend	J	T					
158. -SPDR BLMBRG BRCLY EMG (EBND)	A	Dividend	J	T					
159. -SPDR Intermediate TRM CRPRATE BND ET :(SPIB)	A	Dividend							
160. -SPDR Wells Fargo Preferred Stock ETF (PSK)	A	Dividend	J	T					
161. -Vaneck Vectors J P Marga Emerging Mkcts LOC (EMLC)	A	Dividend	J	T					
162. -Vanguard GLBAL EX US RE ETF: (VNQI)	A	Dividend	J	T					
163. -Vanguard Int'l HGH DIV YLD ETF: (VYMI)	A	Dividend	J	T					
164. -Vanguard Mtge Backed SEC ETF: (VMBS)	A	Dividend	J	T	Buy (add'l)	07/11/19	J		
165. -XTRACKERSINTER REAL EST ETF (HAUZ)	A	Dividend	J	T	Buy	05/23/19	J		
166. -XTRACKERS USD HIGH YLD COR BND ETF (HYLB)	A	Dividend	J	T	Buy (add'l)	07/11/19	J		
167. -XTRACKR MSCIEAFE HG DV YLD EQ ETF (HDEF)	A	Dividend	J	T					
168. -Global X US Pref ETF (PFFD)	A	Dividend	J	T					
169. SCHWAB CONTRIB IRA #6									
170. -Total Schwab Bank Savings Sweep	A	Interest	J						

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

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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)
171. -Charles Schwab US REIT ETF (SCHH)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
172. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	01/17/19	J		
173. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	01/31/19	J		
174. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	02/20/19	J		
175. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	03/05/19	J		
176. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	04/02/19	J		
177. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	04/23/19	J		
178. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	05/02/19	J		
179. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	06/20/19	J		
180. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	07/03/19	J		
181. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	10/01/19	J		
182. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	10/31/19	J		
183. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	12/02/19	J		
184. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	12/20/19	J		
185. -Schwab Emerging Mkts Equity ETF (SCHE)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
186. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	01/17/19	J		
187. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	01/31/19	J		

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

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Name of Person Reporting

Baverman, Alan J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/20/19	J		
189. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/05/19	J		
190. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/19/19	J		
191. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/02/19	J		
192. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/23/19	J		
193. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/02/19	J		
194. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/22/19	J		
195. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/31/19	J		
196. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	06/20/19	J		
197. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/03/19	J		
198. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/22/19	J		
199. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/29/19	J		
200. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	10/01/19	J		
201. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	10/31/19	J		
202. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	12/02/19	J		
203. -Schwab Funda EMG Mkts Large COM ETF (FNDE)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
204. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	01/17/19	J		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	01/31/19	J		
206. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	02/20/19	J		
207. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/05/19	J		
208. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/19/19	J		
209. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	04/02/19	J		
210. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	04/23/19	J		
211. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	05/02/19	J		
212. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	05/22/19	J		
213. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	05/31/19	J		
214. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	06/20/19	J		
215. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	07/03/19	J		
216. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	07/22/19	J		
217. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	08/29/19	J		
218. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	10/01/19	J		
219. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	10/31/19	J		
220. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	12/02/19	J		
221. -Schwab Fundamental Intl Large Com ETF (FNDE)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	01/17/19	J		
223. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	01/31/19	J		
224. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	02/20/19	J		
225. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/05/19	J		
226. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/19/19	J		
227. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	04/02/19	J		
228. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	04/23/19	J		
229. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	05/02/19	J		
230. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	05/22/19	J		
231. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	05/31/19	J		
232. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	06/20/19	J		
233. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	07/03/19	J		
234. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	07/22/19	J		
235. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	08/29/19	J		
236. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	10/01/19	J		
237. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	10/31/19	J		
238. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	12/02/19	J		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	12/20/19	J		
240. -Schwab Fundamental Intl Small Com ETF (FNDC)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
241. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	01/17/19	J		
242. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	01/31/19	J		
243. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	02/21/19	J		
244. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	03/05/19	J		
245. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	03/19/19	J		
246. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	04/02/19	J		
247. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	04/23/19	J		
248. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	05/02/19	J		
249. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	05/22/19	J		
250. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	05/31/19	J		
251. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	06/20/19	J		
252. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	07/03/19	J		
253. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	07/22/19	J		
254. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	08/29/19	J		
255. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	10/01/19	J		

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

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256. -Schwab Fundamental Intl Small Com ETF (FNDX)					Buy (add'l)	10/31/19	J		
257. -Schwab Fundamental Intl Small Com ETF (FNDX)					Buy (add'l)	12/02/19	J		
258. -Schwab Fundamental Intl Small Com ETF (FNDX)					Buy (add'l)	12/20/19	J		
259. -Schwab Fundamental US Large Co ETF (FNDX)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
260. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	01/17/19	J		
261. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	01/31/19	J		
262. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	02/20/19	J		
263. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/05/19	J		
264. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/19/19	J		
265. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	04/02/19	J		
266. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	04/23/19	J		
267. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	05/02/19	J		
268. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	05/22/19	J		
269. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	05/31/19	J		
270. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	06/20/19	J		
271. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	07/03/19	J		
272. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	07/22/19	J		

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

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	08/29/19	J		
274. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	10/01/19	J		
275. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	10/31/19	J		
276. -Schwab Fundamental US Small Com ETF (FNDA)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
277. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/17/19	J		
278. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/31/19	J		
279. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	02/20/19	J		
280. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/05/19	J		
281. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/19/19	J		
282. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/02/19	J		
283. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/23/19	J		
284. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	05/02/19	J		
285. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	05/22/19	J		
286. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	05/31/19	J		
287. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	06/20/19	J		
288. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/03/19	J		
289. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/22/19	J		

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

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/29/19	J		
291. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/01/19	J		
292. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/31/19	J		
293. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/02/19	J		
294. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/20/19	J		
295. -Schwab Intl Equity ETF (SCHF)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
296. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	01/17/19	J		
297. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	01/31/19	J		
298. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	02/20/19	J		
299. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	03/05/19	J		
300. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	03/19/19	J		
301. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	04/02/19	J		
302. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	04/23/19	J		
303. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	05/02/19	J		
304. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	05/22/19	J		
305. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	05/31/19	J		
306. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	06/20/19	J		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	07/03/19	J		
308. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	07/22/19	J		
309. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	08/29/19	J		
310. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	10/01/19	J		
311. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	10/31/19	J		
312. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	12/02/19	J		
313. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	12/20/19	J		
314. -Schwab Intl Small Cap Eqty ETF (SCHC)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
315. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	01/17/19	J		
316. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	01/31/19	J		
317. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	02/20/19	J		
318. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/05/19	J		
319. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/19/19	J		
320. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/02/19	J		
321. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/23/19	J		
322. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	05/02/19	J		
323. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	05/22/19	J		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
324. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	05/31/19	J		
325. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	06/20/19	J		
326. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	07/03/19	J		
327. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	07/22/19	J		
328. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	08/29/19	J		
329. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	10/01/19	J		
330. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	10/31/19	J		
331. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/02/19	J		
332. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/20/19	J		
333. -Schwab US Large Cap ETF (SCHX)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
334. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	01/17/19	J		
335. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	01/31/19	J		
336. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	02/20/19	J		
337. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/05/19	J		
338. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/19/19	J		
339. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	04/02/19	J		
340. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	04/23/19	J		

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

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Name of Person Reporting

Baverman, Alan J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	05/02/19	J		
342. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	05/22/19	J		
343. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	05/31/19	J		
344. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	06/20/19	J		
345. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	07/03/19	J		
346. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	07/22/19	J		
347. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	08/29/19	J		
348. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	10/01/19	J		
349. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	10/31/19	J		
350. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	12/02/19	J		
351. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	12/20/19	J		
352. -Schwab US Small Cap ETF (SCHA)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
353. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	01/31/19	J		
354. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	03/05/19	J		
355. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	03/19/19	J		
356. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	04/02/19	J		
357. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	04/23/19	J		

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

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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 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	05/02/19	J		
359. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	05/22/19	J		
360. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	06/20/19	J		
361. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	07/03/19	J		
362. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	07/22/19	J		
363. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	08/29/19	J		
364. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	10/01/19	J		
365. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	10/31/19	J		
366. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	12/02/19	J		
367. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)	A	Dividend	J	T	Buy (add'l)	01/03/19	J		
368. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	01/17/19	J		
369. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	01/31/19	J		
370. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	02/20/19	J		
371. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	03/05/19	J		
372. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	04/19/19	J		
373. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	04/23/19	J		
374. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	05/02/19	J		

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

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Name of Person Reporting

Baverman, Alan J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375. -XTRACKERS INTER REAL EST ETF (HAUZ)	A	Dividend	J	T	Buy	05/31/19	J		
376. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	06/20/19	J		
377. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	07/03/19	J		
378. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	07/22/19	J		
379. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	08/29/19	J		
380. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	10/01/19	J		
381. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	10/31/19	J		
382. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	12/02/19	J		
383. -XTRACKERS INTER REAL EST ETF (HAUZ)					Buy (add'l)	12/20/19	J		
384. SCHWAB Acct #7									
385. -Bank Sweep	A	Interest	K	T					
386. -Schwab Muni Money Fund (SWTXX)	C	Dividend	O	T					
387. RENTAL PROPERTY									
388. -# 1 [REDACTED] (2019 Assessment: \$314,400)	E	Rent	N	S					
389. -#2 [REDACTED] (2019 Assessment: \$175, 920)	D	Rent			Sold	09/05/19	N	G	
390. FAMILY S CORPORATION (F1)	C	Distribution	N	T					
391. -Trust Bank Account (SunTrust)	C	Interest	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392. BANK ACCOUNTS									
393. -North Georgia Bank 1	A	Interest			Closed	10/02/19	L		
394. -North Georgia Bank 2	A	Interest			Closed	10/02/19	J		
395. -North Georgia Bank 3	A	Interest			Closed	10/02/19	J		
396. -North Georgia Bank 4	A	Interest	J	T					
397. -Chase I	A	Interest	J	T					
398. -Chase II	A	Interest	L	T					
399. SCHWAB INH IRA BENE #8									
400. -Deposit account	B	Int./Div.	K	T					
401. IRREVOCABLE TRUST									
402. -TransAmerica Annuity (Fixed)	D	Distribution	K	T					
403. [REDACTED] Real Estate (2019 assessment: \$260,100)			N	S					

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

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Name of Person Reporting	Date of Report
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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

08/13/2020

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