

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 02/07/2020
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 01/01/2018 to 12/31/2018
	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	
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

Baverman, Alan J.

Date of Report

02/07/2020

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. 2018	Self-employed [REDACTED]
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. American Conference Institute	11/15/2018-11/16/2018	New York City, NY	Panelist on Judges Panel @ conference on ERISA	airfare & hotel
2.				
3.				
4.				
5.				

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.	Flagstar Bank	Mortgage on Rental Property # 2 [REDACTED]	L
2.			
3.			
4.			
5.			

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)
1. SCHWAB SEP IRA #1	A	Int./Div.			Closed	02/13/18	K		
2. -Deposit Account	A	Int./Div.			Merged (with line 5)	02/13/18	J		
3. -Israel ST \$BD 7TH JU	A	Interest			Matured	02/13/18	K		
4. SCHWAB CONTR IRA #2									
5. -Schwab Bank Sweep	A	Int./Div.	L	T	Open	01/02/18	L		
6. -Schwab Value Advantage (SWVXX)	A	Interest	K	T	Open	04/09/18	K		
7. -Dreyfus Funds Standish GL Fixed Inc	A	Dividend	K	T					
8. -Goldman Sachs Bank 1.75%18	A	Interest			Matured	08/15/18	K	A	
9. -Barclays Bank DEL CD (8/19)	A	Interest	L	T					
10. -Invesco S&P 500 Equal Weig HC ETF:RYH	A	Dividend	J	T					
11. -iShares U S Real Estate ETF (IYR)	A	Dividend	J	T					
12. -PIMCO Foreign Inst SHS PFORX	A	Dividend	J	T					
13. -PIMCO Inv Gr Corp Bond Instl (PIGIX)	A	Dividend	J	T					
14. -Vanguard Sector Ind FDS ETF (VIS)	A	Dividend	J	T					
15. -Vanguard Health Care ETF: VHT	A	Dividend	J	T					
16. SCHWAB CONTR IRA #3									
17. -Schwab Bank Savings Sweep	A	Interest	J	T	Open	02/08/18	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

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)
18. -Ch Schwab US REIT ETF (SCHH)	A	Dividend	J	T					
19. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	01/11/18	J		
20. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	01/29/18	J		
21. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	02/12/18	J		
22. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	03/01/18	J		
23. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	03/12/18	J		
24. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	03/29/18	J		
25. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	04/12/18	J		
26. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	04/23/18	J		
27. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	04/27/18	J		
28. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	05/30/18	J		
29. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	07/12/18	J		
30. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	07/27/18	J		
31. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	08/29/18	J		
32. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	09/27/18	J		
33. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	10/11/18	J		
34. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	11/13/18	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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Name of Person Reporting

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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)
35. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	12/28/18	J		
36. -Schwab Emerging Mkts Equity ETF (SCHE)	A	Dividend	J	T					
37. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	01/11/18	J		
38. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	01/29/18	J		
39. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/12/18	J		
40. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/01/18	J		
41. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/12/18	J		
42. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/29/18	J		
43. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/10/18	J		
44. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/12/18	J		
45. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/27/18	J		
46. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/10/18	J		
47. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/30/18	J		
48. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	06/12/18	J		
49. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	06/28/18	J		
50. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/12/18	J		
51. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/10/18	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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	(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)
52. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/29/18	J		
53. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	09/12/18	J		
54. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	10/11/18	J		
55. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	12/20/18	J		
56. -Schwab Funda EMG Mktts Large ETF IV (FNDE)	A	Dividend	J	T					
57. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	01/11/18	J		
58. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	01/29/18	J		
59. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	02/12/18	J		
60. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	03/01/18	J		
61. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	03/12/18	J		
62. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	03/29/18	J		
63. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	04/10/18	J		
64. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	04/12/18	J		
65. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	04/23/18	J		
66. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	04/27/18	J		
67. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	05/10/18	J		
68. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	05/30/18	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)
69. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	06/12/18	J		
70. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	06/28/18	J		
71. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	07/12/18	J		
72. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	08/10/18	J		
73. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	08/29/18	J		
74. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	09/12/18	J		
75. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	11/13/18	J		
76. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	11/29/18	J		
77. -Schwab Funda EMG Mktts Large ETF IV (FNDE)					Buy (add'l)	12/20/18	J		
78. -Schwab Fundamental INL Large COM ETF (FNDF)	A	Dividend	K	T					
79. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	01/11/18	J		
80. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	01/29/18	J		
81. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	02/12/18	J		
82. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	03/01/18	J		
83. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	03/12/18	J		
84. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	03/12/18	J		
85. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	04/10/18	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.)

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	04/12/18	J		
87. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	04/23/18	J		
88. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	04/27/18	J		
89. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	05/10/18	J		
90. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	05/30/18	J		
91. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	06/12/18	J		
92. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	06/28/18	J		
93. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	07/12/18	J		
94. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	07/27/18	J		
95. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	08/10/18	J		
96. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	08/29/18	J		
97. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	09/12/18	J		
98. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	10/11/18	J		
99. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	10/29/18	J		
100. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	11/13/18	J		
101. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	11/29/18	J		
102. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	12/12/18	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)
103. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	12/20/18	J		
104. -Schwab Fundamental INL Large COM ETF (FNDF)					Buy (add'l)	12/28/18	J		
105. -Schwab Fundamental INtl smal COM ETF (FNDC)	A	Dividend	J	T					
106. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	01/11/18	J		
107. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	01/29/18	J		
108. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	02/12/18	J		
109. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	03/01/18	J		
110. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	03/12/18	J		
111. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	03/29/18	J		
112. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	04/10/18	J		
113. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	04/12/18	J		
114. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	04/23/18	J		
115. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	04/23/18	J		
116. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	05/10/18	J		
117. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	05/30/18	J		
118. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	06/28/18	J		
119. -Schwab Fundamental INtl smal COM ETF (FNDC)					Buy (add'l)	07/12/18	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)
120. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	07/27/18	J		
121. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	08/10/18	J		
122. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	08/29/18	J		
123. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	09/12/18	J		
124. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	10/11/18	J		
125. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	10/29/18	J		
126. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	11/13/18	J		
127. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	11/29/18	J		
128. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	12/12/18	J		
129. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	12/20/18	J		
130. -Schwab Fundamental INTl smal COM ETF (FNDC)					Buy (add'l)	12/28/18	J		
131. -Schwab Fundamental US Large ETF IV (FNDX)	A	Dividend	K	T					
132. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	01/11/18	J		
133. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	01/29/18	J		
134. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	02/12/18	J		
135. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	03/01/18	J		
136. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	03/12/18	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

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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)
137. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	03/29/18	J		
138. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	04/10/18	J		
139. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	04/12/18	J		
140. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	04/23/18	J		
141. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	04/27/18	J		
142. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	05/10/18	J		
143. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	05/30/18	J		
144. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	06/12/18	J		
145. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	06/28/18	J		
146. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	07/12/18	J		
147. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	07/27/18	J		
148. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	08/10/18	J		
149. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	08/29/18	J		
150. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	09/12/18	J		
151. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	09/27/18	J		
152. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	10/29/18	J		
153. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	11/13/18	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)
154. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	11/29/18	J		
155. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	12/12/18	J		
156. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	12/20/18	J		
157. -Schwab Fundamental US Large ETF IV (FNDX)					Buy (add'l)	12/28/18	J		
158. -Schwab Fundamental US Small Com ETF (FNDA)	A	Dividend	K	T					
159. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/11/18	J		
160. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/29/18	J		
161. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	02/12/18	J		
162. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/01/18	J		
163. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/12/18	J		
164. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/29/18	J		
165. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/10/18	J		
166. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/23/18	J		
167. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/27/18	J		
168. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	05/30/18	J		
169. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	06/12/18	J		
170. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	06/28/18	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)
171. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/12/18	J		
172. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/27/18	J		
173. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/10/18	J		
174. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	09/12/18	J		
175. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	09/27/18	J		
176. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/11/18	J		
177. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/29/18	J		
178. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	11/13/18	J		
179. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	11/29/18	J		
180. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/12/18	J		
181. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/20/18	J		
182. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/28/18	J		
183. -Schwab Int'l Equity ETF (SCHF)	A	Dividend	J	T					
184. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	01/11/18	J		
185. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	01/29/18	J		
186. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	02/12/18	J		
187. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	03/01/18	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)
188. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	03/12/18	J		
189. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	03/29/18	J		
190. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	04/10/18	J		
191. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	04/12/18	J		
192. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	04/23/18	J		
193. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	04/27/18	J		
194. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	05/10/18	J		
195. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	05/30/18	J		
196. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	06/12/18	J		
197. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	06/28/18	J		
198. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	07/12/18	J		
199. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	07/27/18	J		
200. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	08/10/18	J		
201. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	08/29/18	J		
202. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	09/12/18	J		
203. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	09/27/18	J		
204. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	10/11/18	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 Int'l Equity ETF (SCHF)					Buy (add'l)	10/29/18	J		
206. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	11/13/18	J		
207. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	11/29/18	J		
208. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	12/12/18	J		
209. -Schwab Int'l Equity ETF (SCHF)					Buy (add'l)	12/20/18	J		
210. -Schwab Int'l Small Cap Eqty ETF (SCHC)	A	Dividend	J	T					
211. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	01/11/18	J		
212. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	01/29/18	J		
213. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	02/12/18	J		
214. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/01/18	J		
215. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/12/18	J		
216. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	03/29/18	J		
217. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/10/18	J		
218. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/12/18	J		
219. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/23/18	J		
220. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	04/27/18	J		
221. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	05/10/18	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

02/07/2020

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 Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	05/30/18	J		
223. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	06/12/18	J		
224. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	07/12/18	J		
225. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	07/27/18	J		
226. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	08/10/18	J		
227. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	08/29/18	J		
228. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	09/12/18	J		
229. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	09/27/18	J		
230. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	10/11/18	J		
231. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	10/29/18	J		
232. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	11/13/18	J		
233. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	11/29/18	J		
234. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/12/18	J		
235. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/20/18	J		
236. -Schwab Int'l Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/28/18	J		
237. -Schwab US Large CAP ETF (SCHX)	A	Dividend	K	T					
238. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	01/11/18	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)
239. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	01/29/18	J		
240. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	02/12/18	J		
241. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	03/01/18	J		
242. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	03/12/18	J		
243. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	03/29/18	J		
244. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	04/10/18	J		
245. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	04/12/18	J		
246. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	04/23/18	J		
247. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	04/27/18	J		
248. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	05/10/18	J		
249. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	05/30/18	J		
250. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	06/12/18	J		
251. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	06/28/18	J		
252. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	07/12/18	J		
253. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	07/27/18	J		
254. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	08/10/18	J		
255. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	08/29/18	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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Name of Person Reporting

Baverman, Alan J.

Date of Report

02/07/2020

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)
256. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	09/12/18	J		
257. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	09/27/18	J		
258. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	10/11/18	J		
259. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	10/29/18	J		
260. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	11/13/18	J		
261. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	11/29/18	J		
262. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	12/12/18	J		
263. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	12/20/18	J		
264. -Schwab US Large CAP ETF (SCHX)					Buy (add'l)	12/28/18	J		
265. -Schwab US Small CAP ETF (SCHA)	A	Dividend	J	T					
266. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	01/11/18	J		
267. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	01/29/18	J		
268. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	02/12/18	J		
269. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	03/01/18	J		
270. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	03/12/18	J		
271. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	03/29/18	J		
272. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	04/10/18	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)
273. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	04/12/18	J		
274. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	04/23/18	J		
275. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	04/27/18	J		
276. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	05/30/18	J		
277. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	06/28/18	J		
278. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	07/12/18	J		
279. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	07/27/18	J		
280. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	08/10/18	J		
281. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	10/11/18	J		
282. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	10/29/18	J		
283. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	11/29/18	J		
284. -Schwab US Small CAP ETF (SCHA)					Buy (add'l)	12/28/18	J		
285. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)	A	Dividend	J	T					
286. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	01/12/18	J		
287. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	02/12/18	J		
288. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	03/01/18	J		
289. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	03/12/18	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)
290. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	04/12/18	J		
291. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	04/23/18	J		
292. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	04/27/18	J		
293. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	05/10/18	J		
294. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	05/30/18	J		
295. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	06/12/18	J		
296. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	06/28/18	J		
297. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	07/12/18	J		
298. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	08/10/18	J		
299. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	08/29/18	J		
300. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	09/12/18	J		
301. -Vanguard GLBAL EX US REAL EST ETF IV (VNQI)					Buy (add'l)	10/11/18	J		
302. SCHWAB IRA CONTRIB #4									
303. -Deposit Account	A	Interest	L	T					
304. -Israel ST \$8D JUB 05/19	A	Interest	K	T					
305. -Vanguard Sector Index FDS Vanguard Utils Viper	A	Dividend	K	T					
306. SCHWAB IRA CONTRIB #5									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

Date of Report

02/07/2020

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. -Total Schwab Bank Savings Sweep	A	Interest	J	T					
308. -Ch Schwab US REIT ETF (SCHH)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
309. -Ch Schwab US REIT ETF (SCHH)					Buy (add'l)	06/08/18	J		
310. -Global X MLP ETF (MLPA)	A	Dividend	J	T					
311. -iShares High Yield Corp Bond ETF (SHYG)	A	Dividend	J	T	Sold (part)	06/04/18	J		
312. -iShares High Yield Corp Bond ETF: (SHYG)					Sold (part)	06/08/18	J		
313. -iShares Intl Dev RE ETF (IFGL)	A	Dividend	J	T	Buy	06/08/18	J		
314. -Invesco Senior Loan ETF (BKLN)	A	Dividend	J	T					
315. -Schwab Intermediate Term US TRS ETF: (SCHR)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
316. -Schwab Intermediate Term US TRS ETF: (SCHR)					Buy (add'l)	06/04/18	J		
317. -Schwab US Dividend Equity ETF: (SCHD)	A	Dividend	K	T	Buy (add'l)	02/08/18	J		
318. -Schwab US Dividend Equity ETF: (SCHD)					Sold (part)	06/04/18	J	A	
319. -Schwab US TIPS ETF (SCHP)	A	Dividend	J	T					
320. -SPDR BLMBRG BRCLY EMG (EBMD)	A	Dividend	J	T					
321. -SPDR Intermediate TRM CRPRATE BND ET :(SPIB)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
322. -SPDR Intermediate TRM CRPRATE BND ETF (SPIB)					Sold (part)	06/04/18	J		
323. -SPDR S&P Int'l Divident ETF (DWX)	A	Dividend			Sold	06/08/18	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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Name of Person Reporting

Baverman, Alan J.

Date of Report

02/07/2020

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. -SPDR Wells Fargo Preferred Stock ETF (PSK)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
325. -Vaneck Vectors J P Margan Emerging Mkts LOC (EMLC)	A	Dividend	J	T					
326. -Vanguard GLBAL EX US RE ETF: (VNQI)	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
327. -Vanguard GLBAL EX US RE ETF: (VNQI)	A	Dividend	J	T	Buy (add'l)	10/12/18	J		
328. -Vanguard Int'l HGH DIV YLD ETF: (VYMI)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
329. -Vanguard Mtge Backed SEC ETF: (VMBS)	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
330. -Vanguard Mtge Backed SEC ETF: (VMBS)	A	Dividend	J	T	Buy (add'l)	06/04/18	J		
331. -Vanguard Total Int'l Bnd ETF: (BNDX)	A	Dividend			Buy (add'l)	02/08/18	J		
332. -Vanguard Total Int'l Bnd ETF: (BNDX)					Sold	06/04/18	J	A	
333. -Vanguard Gobal EX US RE ETF ((VNQI)	A	Dividend	J	T	Buy	06/08/18	J		
334. -XTRACKERS USD HIGH YLD COR BND ETF (HYLB)	A	Dividend	J	T	Buy (add'l)	06/08/18	J		
335. -XTRACKR MSCIEAFE HG DV YLD EQ ETF (HDEF)	A	Dividend	J	T	Buy	06/08/18	J		
336. -XTRACKR MSCIEAFE HG DV YLD EQ ETF (HDEF)					Buy (add'l)	06/28/18	J		
337. -XTRACKR MSCIEAFE HG DV YLD EQ ETF (HDEF)					Buy (add'l)	10/12/18	J		
338. -XTRACKR MSCIEAFE HG DV YLD EQ ETF (HDEF)					Buy (add'l)	12/20/18	J		
339. -Global X US Pref ETF (PFFD)	A	Dividend	J	T	Buy	06/04/18	J		
340. -Global X US Pref ETF (PFFD)	A	Dividend			Buy (add'l)	12/20/18	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)
341. SCHWAB CONTRIB IRA #6									
342. -Total Schwab Bank Savings Sweep	A	Interest	J						
343. -Charles Schwab US REIT ETF (SCHH)	A	Dividend	J	T	Buy (add'l)	01/08/18	J		
344. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	01/19/18	J		
345. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	01/30/18	J		
346. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	02/16/18	J		
347. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	03/01/18	J		
348. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	03/16/18	J		
349. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	03/29/18	J		
350. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	04/18/18	J		
351. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	04/30/18	J		
352. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	05/17/18	J		
353. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	06/01/18	J		
354. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	06/19/18	J		
355. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	07/03/18	J		
356. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	07/19/18	J		
357. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	08/02/18	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)
358. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	08/17/18	J		
359. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	08/31/18	J		
360. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	09/19/18	J		
361. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	10/03/18	J		
362. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	10/18/18	J		
363. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	12/03/18	J		
364. -Charles Schwab US REIT ETF (SCHH)					Buy (add'l)	12/20/18	J		
365. -Schwab Emerging Mkts Equity ETF (SCHE)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
366. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	01/30/18	J		
367. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/01/18	J		
368. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	02/16/18	J		
369. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/01/18	J		
370. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/16/18	J		
371. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	03/29/18	J		
372. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/18/18	J		
373. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	04/30/18	J		
374. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	05/17/18	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)
375. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	06/01/18	J		
376. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	06/19/18	J		
377. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/03/18	J		
378. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	07/19/18	J		
379. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/02/18	J		
380. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/17/18	J		
381. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/17/18	J		
382. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	08/31/18	J		
383. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	09/19/18	J		
384. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	10/03/18	J		
385. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	10/18/18	J		
386. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	11/01/18	J		
387. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	12/03/18	J		
388. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	12/19/18	J		
389. -Schwab Emerging Mkts Equity ETF (SCHE)					Buy (add'l)	12/20/18	J		
390. -Schwab Funda EMG Mkts Large COM ETF (FNDE)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
391. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	01/30/18	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)
392. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	02/13/18	J		
393. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	02/16/18	J		
394. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/01/18	J		
395. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/06/18	J		
396. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/16/18	J		
397. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	03/29/18	J		
398. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	04/18/18	J		
399. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	04/30/18	J		
400. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	05/17/18	J		
401. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	06/01/18	J		
402. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	06/19/18	J		
403. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	07/03/18	J		
404. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	07/19/18	J		
405. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	08/02/18	J		
406. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	08/17/18	J		
407. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	08/31/18	J		
408. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	09/19/18	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)
409. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	10/18/18	J		
410. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	11/01/18	J		
411. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	11/19/18	J		
412. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	12/03/18	J		
413. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	12/19/18	J		
414. -Schwab Funda EMG Mkts Large COM ETF (FNDE)					Buy (add'l)	12/20/18	J		
415. -Schwab Fundamental Intl Large Com ETF (FNDF)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
416. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	01/30/18	J		
417. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	02/07/18	J		
418. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	02/16/18	J		
419. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/01/18	J		
420. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/06/18	J		
421. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/16/18	J		
422. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	03/29/18	J		
423. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	04/18/18	J		
424. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	04/30/18	J		
425. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	05/17/18	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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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)
426. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	06/01/18	J		
427. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	06/19/18	J		
428. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	07/03/18	J		
429. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	07/19/18	J		
430. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	08/02/18	J		
431. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	08/17/18	J		
432. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	08/02/18	J		
433. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	08/31/18	J		
434. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	09/19/18	J		
435. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	10/03/18	J		
436. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	10/18/18	J		
437. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	11/01/18	J		
438. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	11/19/18	J		
439. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	12/03/18	J		
440. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	12/19/18	J		
441. -Schwab Fundamental Intl Large Com ETF (FNDF)					Buy (add'l)	12/20/18	J		
442. -Schwab Fundamental Intl Small Com ETF (FNDC)	A	Dividend	J	T	Buy (add'l)	01/19/18	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)
443. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	01/30/18	J		
444. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	02/01/18	J		
445. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	02/16/18	J		
446. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	03/06/18	J		
447. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	03/16/18	J		
448. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	03/29/18	J		
449. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	04/18/18	J		
450. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	04/30/18	J		
451. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	05/17/18	J		
452. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	06/01/18	J		
453. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	06/19/18	J		
454. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	07/03/18	J		
455. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	07/19/18	J		
456. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	08/02/18	J		
457. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	08/17/18	J		
458. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	08/31/18	J		
459. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	09/19/18	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)
460. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	10/03/18	J		
461. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	10/18/18	J		
462. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	11/01/18	J		
463. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	11/19/18	J		
464. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	12/03/18	J		
465. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	12/19/18	J		
466. -Schwab Fundamental Intl Small Com ETF (FNDC)					Buy (add'l)	12/20/18	J		
467. -Schwab Fundamental US Large Co ETF (FNDX)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
468. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	01/30/18	J		
469. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	02/07/18	J		
470. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	02/13/18	J		
471. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	02/16/18	J		
472. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/01/18	J		
473. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/16/18	J		
474. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/27/18	J		
475. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	03/29/18	J		
476. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	04/18/18	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)
477. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	04/30/18	J		
478. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	05/17/18	J		
479. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	06/01/18	J		
480. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	06/19/18	J		
481. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	07/03/18	J		
482. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	07/19/18	J		
483. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	08/02/18	J		
484. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	08/17/18	J		
485. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	08/31/18	J		
486. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	09/19/18	J		
487. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	10/03/18	J		
488. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	10/18/18	J		
489. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	11/01/18	J		
490. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	11/19/18	J		
491. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	12/03/18	J		
492. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	12/19/18	J		
493. -Schwab Fundamental US Large Co ETF (FNDX)					Buy (add'l)	12/20/18	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)
494. -Schwab Fundamental US Small Com ETF (FNDA)	A	Dividend	J	T	Buy (add'l)	01/02/18	J		
495. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/19/18	J		
496. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	01/30/18	J		
497. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	02/16/18	J		
498. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/01/18	J		
499. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/06/18	J		
500. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/16/18	J		
501. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	03/27/18	J		
502. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/18/18	J		
503. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	04/30/18	J		
504. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	05/17/18	J		
505. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	06/01/18	J		
506. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	06/19/18	J		
507. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/03/18	J		
508. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	07/19/18	J		
509. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/02/18	J		
510. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/17/18	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)
511. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	08/31/18	J		
512. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	09/19/18	J		
513. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/03/18	J		
514. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	10/18/18	J		
515. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	11/19/18	J		
516. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/03/18	J		
517. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/19/18	J		
518. -Schwab Fundamental US Small Com ETF (FNDA)					Buy (add'l)	12/20/18	J		
519. -Schwab Intl Equity ETF (SCHF)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
520. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	01/30/18	J		
521. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	02/16/18	J		
522. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	03/01/18	J		
523. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	03/16/18	J		
524. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	03/29/18	J		
525. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	04/18/18	J		
526. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	04/30/18	J		
527. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	05/17/18	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)
528. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	06/01/18	J		
529. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	06/19/18	J		
530. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	07/03/18	J		
531. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	07/19/18	J		
532. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	05/17/18	J		
533. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	08/02/18	J		
534. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	08/17/18	J		
535. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	08/31/18	J		
536. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	09/19/18	J		
537. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	10/03/18	J		
538. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	10/18/18	J		
539. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	11/01/18	J		
540. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	11/19/18	J		
541. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	12/03/18	J		
542. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	12/19/18	J		
543. -Schwab Intl Equity ETF (SCHF)					Buy (add'l)	12/20/18	J		
544. -Schwab Intl Small Cap Eqty ETF (SCHC)	A	Dividend	J	T	Buy (add'l)	01/19/18	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)
545. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	02/16/18	J		
546. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	03/01/18	J		
547. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	03/16/18	J		
548. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	03/29/18	J		
549. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	04/18/18	J		
550. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	04/30/18	J		
551. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	05/17/18	J		
552. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	06/01/18	J		
553. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	06/19/18	J		
554. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	07/03/18	J		
555. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	07/19/18	J		
556. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	08/02/18	J		
557. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	08/17/18	J		
558. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	08/31/18	J		
559. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	09/19/18	J		
560. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	10/03/18	J		
561. -Schwab Intl Small Cap Eqy ETF (SCHC)					Buy (add'l)	10/18/18	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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Name of Person Reporting

Baverman, Alan J.

Date of Report

02/07/2020

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)
562. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	11/01/18	J		
563. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	11/19/18	J		
564. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/03/18	J		
565. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/19/18	J		
566. -Schwab Intl Small Cap Eqty ETF (SCHC)					Buy (add'l)	12/20/18	J		
567. -Schwab US Large Cap ETF (SCHX)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
568. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	01/30/18	J		
569. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	02/16/18	J		
570. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/01/18	J		
571. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/16/18	J		
572. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/27/18	J		
573. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	03/29/18	J		
574. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	04/18/18	J		
575. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	04/30/18	J		
576. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	05/17/18	J		
577. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	06/01/18	J		
578. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	06/19/18	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)
579. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	07/03/18	J		
580. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	07/19/18	J		
581. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	08/02/18	J		
582. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	08/17/18	J		
583. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	08/31/18	J		
584. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	09/19/18	J		
585. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	10/03/18	J		
586. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	10/18/18	J		
587. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	11/01/18	J		
588. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	11/19/18	J		
589. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	12/03/18	J		
590. -Schwab US Large Cap ETF (SCHX)					Buy (add'l)	12/19/18	J		
591. -Schwab US Small Cap ETF (SCHA)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
592. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	01/30/18	J		
593. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	02/16/18	J		
594. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	03/01/18	J		
595. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	03/16/18	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)
596. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	03/29/18	J		
597. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	04/18/18	J		
598. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	04/30/18	J		
599. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	05/17/18	J		
600. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	06/19/18	J		
601. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	07/03/18	J		
602. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	07/19/18	J		
603. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	08/02/18	J		
604. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	08/31/18	J		
605. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	09/19/18	J		
606. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	10/03/18	J		
607. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	10/18/18	J		
608. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	11/01/18	J		
609. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	11/19/18	J		
610. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	12/03/18	J		
611. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	12/19/18	J		
612. -Schwab US Small Cap ETF (SCHA)					Buy (add'l)	12/20/18	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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02/07/2020

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)
613. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)	A	Dividend	J	T	Buy (add'l)	01/19/18	J		
614. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	01/30/18	J		
615. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	02/16/18	J		
616. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	03/01/18	J		
617. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	03/29/18	J		
618. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	04/18/18	J		
619. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	05/17/18	J		
620. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	06/01/18	J		
621. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	06/19/18	J		
622. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	07/03/18	J		
623. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	07/19/18	J		
624. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	08/02/18	J		
625. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	08/17/18	J		
626. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	08/31/18	J		
627. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	09/19/18	J		
628. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	10/03/18	J		
629. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	10/18/18	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

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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)
630. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	11/01/18	J		
631. -Vanguard Gblal Ex US Real Est ETF IV (VNQI)					Buy (add'l)	12/03/18	J		
632. SCHWAB Acct #7					Open	04/03/18			
633. -Bank Sweep	A	Interest	K	T	Open	04/03/18	K		
634. -Schwab Muni Money Fund (SWTXX)	C	Dividend	N	T	Open	04/03/18	N		
635. RENTAL PROPERTY									
636. -# 1 [REDACTED] (2018 Assessment: \$296,900)	E	Rent	N	S					
637. -#2 [REDACTED] (2018 Assessment: \$64,280)	D	Rent	M	S					
638. FAMILY S CORPORATION (F1)	C	Distribution	N	T					
639. -AMERICAN FUNDS									See Part VIII, Note 2
640. -Trust Bank Account (SunTrust)	C	Interest	M	T					
641. BANK ACCOUNTS									
642. -North Georgia Bank 1	A	Interest	L	T					
643. -North Georgia Bank 2	A	Interest	J	T					
644. -North Georgia Bank 3	A	Interest	J	T					
645. -North Georgia Bank 4	A	Interest	L	T					
646. -North Georgia Bank 5	A	Interest			Closed	04/04/18	N		

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)
647. -Chase I	A	Interest	J	T					
648. -Chase II	A	Interest	J	T					
649. -First Landmark	A	Interest			Closed	04/04/18	M		
650. SCHWAB INH IRA BENE #8									
651. -Deposit account	B	Int./Div.	K	T					
652. IRREVOCABLE TRUST									
653. -TransAmerica Annuity (Fixed)	D	Distribution	L	T					
654. - Real Estate (2018 assessment: \$258,900)		None	N	S					

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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Name of Person Reporting

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

1. Part VII, Line 10. During the reporting period, the name of this asset changed from Guggenheim to Powershares to Invesco.

2. Part VII, Line 639. My reporting of these transactions over the last 18 years was based on a mispprehesion that [REDACTED], as a co-trustee of [REDACTED] trust, had trading authority in the Americans Fund account. [REDACTED] does not, and never had. The American Funds account is held by [REDACTED] individually, not through the Trust, and trading authority is held only by [REDACTED], who deposits any proceeds not used for [REDACTED] expenses into the Trust bank account (Line 640).

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Baverman, Alan J.

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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