

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 07/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 1885 US Courthouse 75 Spring Street, 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. Insert signature on last page.		

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	(see Section VIII)
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Emory University, Adj. Prof.	\$1,500.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.*(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Self-employed real estate broker
2. 2011	Real Estate Managing Broker
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 Institutes	Sept. 20-21, 2011	Dallas, TX	Residential Mortgage Litigation Seminar (Judicial Panel Member)	Transportation, food, hotel
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT NO. 5A SEP IRA									
2. -TDAM Money Market Portfolio Investor Class	A	Interest			Closed	05/27/11	M		moved to line 12
3. -GNMA Series [REDACTED]	A	Int./Div.			Redeemed	04/19/11	J		
4. -GNMA Series [REDACTED]	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
5. -DFA Invst Dimensions Grp 5 yr Global Port (Sold 4/17/10)		None							See Sec. VIII
6. -GEMoney Bank [REDACTED]	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
7. -GEMoney Bank [REDACTED]	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
8. -GEMoney Bank [REDACTED]	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
9. -Dreyfus Funds Standish GL Fixed Inc	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
10. -Manning & Napier Pro Blend Conserv Term Ser	A	Int./Div.			Closed	05/27/11	J		tfr to Brok Acct 5B
11. BROKERAGE ACCOUNT SEP IRA [REDACTED] (opened 5/27/11)									
12. -Fed. Prime Oblig. Trust Sh (MM)	A	Int./Div.	M	T	Open	05/27/11	M		moved fr line 2
13. -Fed. Prime Oblig. Trust Sh (MM)					Distributed (part)	06/07/11	K		to Brok Acct 5C
14. -GNMA Series [REDACTED]	A	Interest	J	T					
15. -GEMoney Bank [REDACTED]	A	Interest	J	T					
16. -GEMoney Bank [REDACTED]	A	Interest	J	T					
17. -GEMoney Bank [REDACTED]	A	Interest	J	T					

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

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18. -Dreyfus Funds Standish GL Fixed Inc	A	Dividend	K	T					
19. -Manning & Napier Pro Blend Conserv Term Ser	A	Int./Div.	J	T					
20. BROKERAGE ACCT SEP IRA 5C (opened 6/11/11)									
21. -Fed. Prime Obligs. Trust Sh (MM)	A	Dividend	J	T	Buy	06/11/11	K		
22. -Fed. Prime Obligs. Trust Sh (MM)					Sold (part)	06/13/11	J		
23. -iShares Barclays US Agg BD FD	A	Interest	J	T	Buy	06/13/11	J		
24. -iShares TR IBoxx \$ High Yield	A	Dividend	J	T	Buy	06/13/11	J		
25. -Aberdeen Equity Long Short Fund Inst CL		None	J	T	Buy	06/13/11	J		
26. -Absolute Strategies Institutional	A	Dividend	J	T	Buy	06/13/11	J		
27. -Eaton Vance Atl Cap SMID CAP FD 1	A	Dividend	J	T	Buy	06/13/11	J		
28. -Federated Strategic Value Dividend Cl 1	A	Dividend	J	T	Buy	06/13/11	J		
29. -Manning & Napier World Oppt Serv Cl A	A	Distribution	J	T	Buy	06/13/11	J		
30. -Oppenheimer Dev. Markets FD Cl Y	A	Dividend	J	T	Buy	06/13/11	J		
31. -Rydex SGI Managed Fut Strat CL H		None	J	T	Buy	06/13/11	J		
32. -T Rowe Pice Inst Large Cap Growth	A	Dividend	J	T	Buy	06/13/11	J		
33. -PIMCO Inv Gr Corp Bond Instl	A	Dividend	J	T	Buy	06/13/11	J		
34. -PIMCO Low Dur Inst	A	Dividend	J	T	Buy	06/13/11	J		

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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	
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35. -Templeton Global Bond Adv	A	Dividend	J	T	Buy	06/13/11	J		
36. -Eaton Vance Floating Rate Class I	A	Dividend	J	T	Buy	07/14/11	J		
37. -Neuberger Berman High Inc Bond Inst	A	Dividend	J	T	Buy	09/07/11	J		
38. -PIMCO Commod Real Return Inst	A	Dividend			Buy	09/07/11	J		
39. BROKERAGE ACCOUNT SEP IRA (closed 5/27/11)									
40. -TD Bank (fka TDAM money market portfolio)	A	Interest			Closed	5/27/11	L		tfer to line 45
41. -DFA 5 yr. GlobalFixed Income Portfolio	A	Int./Div.			Closed	5/27/11	L		tfer & merged to line 45
42. -BMW BK	A	Int./Div.			Closed	05/27/11	J		tfer to line 47
43. -Union Bank CD		None			Closed	05/27/11	K		tfer to line 48
44. BROK ACCT SEP IRA opened 5/27/11)									
45. -Feder. Prime Obligations Trust Sh	A	Dividend	K	T	Open	05/27/11	M		
46. -Feder. Prime Obligations Trust Sh					Sold (part)	06/07/11	K		moved ot line 49
47. -BMW BK	A	Int./Div.							
48. -Union Bank CD		None	K						
49. BROK ACCT SEP IRA (opened 6/11/11)									
50. -Feder. Prime Oblig. Trust SH	A	Dividend	J	T	Open	06/16/11	K		
51. -Feder. Prime Oblig. Trust SH					Sold (part)	06/16/11	K		

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	
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52. -iShares Barclays US Agg BD FD	A	Interest	J	T	Buy	06/16/11	J		
53. -iShares TR IBoxx \$ High Yield	A	Dividend	J	T	Buy	06/16/11	J		
54. -Aberdeen Equity Long Short Fund Inst CL		None	J	T	Buy	06/16/11	J		
55. -Absolute Strategies Institutional	A	Dividend	J	T	Buy	06/16/11	J		
56. -Eaton Vance Atl Cap SMID CAP FD 1	A	Dividend	J	T	Buy	06/16/11	J		
57. -Federated Strategic Value Dividend Cl 1	A	Dividend	J	T	Buy	06/16/11	J		
58. -Manning & Napier World Oppt Serv Cl A	A	Distribution	J	T	Buy	06/16/11	J		
59. -Oppenheimer Dev. Markets FD Cl Y	A	Dividend	J	T	Buy	06/16/11	J		
60. -Rydex SGI Managed Fut Strat CL H		None	J	T	Buy	06/16/11	J		
61. -T Rowe Pice Inst Large Cap Growth	A	Dividend	J	T	Buy	06/16/11	J		
62. -PIMCO Inv Gr Corp Bond Instl	A	Dividend	J	T	Buy	06/16/11	J		
63. -PIMCO Low Dur Inst	A	Dividend	J	T	Buy	06/16/11	J		
64. -Templeton Global Bond Adv	A	Dividend	J	T	Buy	06/16/11	J		
65. -Neuberger Berman High Inc Bond Inst	A	Dividend	J	T	Buy	09/07/11	J		
66. -PIMCO Commod Real Return Inst	A	Dividend			Buy	09/07/11	J		
67. [REDACTED] BROK ACCT (opened 12/22/11)									
68. -Vngrp Short Term Tax Exempt		None	K	T	Buy	12/22/11	K		

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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69. -Feder. Prime Oblig Trush SH	A	Dividend	J	T	Open	12/22/11	J		
70. 401(K) PLAN (opened 02/01/11									
71. -Vngrd Wsly Inc Inv	A	Int./Div.	J	T	Buy	02/01/11	J		
72. RENTAL PROPERTY (DeKalb Co., GA)									
73. -# 1 Atlanta, DeKalb Co., Georgia ('11 Assessment-\$159,900)	E	Rent	M	S					
74. ██████████ CORPORATION (F1)	C	Distribution	O	T					
75. -American Funds Money Market Fund-A (MMF-A)		None			Distributed	08/12/11	K		exch to LTEX-A
76. -American Funds EuroPacific Growth Fund Class A (EUPAC-A)		None			Distributed	07/12/11	J		exch. to STEX-A
77. -American Funds New World Fund Class A (NWF-A)		None			Distributed	07/12/11	J		exch to STEX-A
78. -American Funds Smallcap World Fund Class A (SCWF-A)		None			Distributed	07/12/11	J		exch to STEX-A
79. -American Funds Fundamental Investors- Class A	A	Dividend	J	T					
80. -American Funds WaMu Investors Fund - Class A (WMIF-A)	B	Dividend	M	T					
81. -----					Distributed	06/15/11	M		exch to LTEX-A
82. -----					Buy	11/02/11	L		exch from LTEX-A
83. -----					Buy (add'l)	11/15/11	K		exch from STEX-A
84. -----					Buy (add'l)	12/20/11	L		exch from STEX-A
85. -American Funds Money Market Fund - Class A (MMF-A)		None			Distributed	08/12/11	K		exch to LTEX-A

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86. -American Funds Ltd Term Tax-Ex Bond Fund-C1 A (LTEX-A)	B	Dividend			Buy	06/15/11	M		exch from WMIF-A
87. -----					Buy (add'l)	08/03/11	K		exch from STEX-A
88. -----					Buy (add'l)	08/12/11	K		exch from MMF-A
89. -----					Distributed (part)	09/12/11	M		exch to ICA-A
90. -----					Distributed (part)	11/02/11	L		exch to WMIF-A
91. -AF Short-Term Tax-Exempt Bond Fund A (STEX-A)	A	Dividend	J	T	Buy	07/12/11	K		exch fr EUPAC-A
92. -----					Buy (add'l)	07/12/11	J		exch from NWF-A
93. -----					Buy (add'l)	7/12/11	J		exch from SCWF-A
94. -----					Distributed (part)	08/03/11	K		exch to LTEX-A
95. -----					Buy (add'l)	10/03/11	M		exch from ICA-A
96. -----					Distributed (part)	11/15/11	K		exch to WMIF-A
97. -----					Distributed (part)	12/20/11	L		exch to WMIF-A
98. -American Funds Inv. Co. of Amer. A (ICA-A)	A	Dividend			Open	09/12/11	M		exch. fm LTEX-A
99. -----					Distributed	10/03/11	M		exch to STEX-A
100. -Trust Bank Account (SunTrust)	A	Interest	J	T					
101. BANK ACCOUNTS									
102. -Wachovia	A	Interest			Closed	05/07/11	L		

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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) 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)
103. -Wachovia	A	Interest			Closed	05/07/11	J		
104. -Wachovia	A	Interest			Closed	05/07/11	J		
105. -Wachovia (now Wells Fargo)	A	Interest	J	T					
106. -Wachovia	A	Interest			Closed	05/07/11	L		
107. -North Georgia Bank	A	Interest	M	T					
108. -North Georgia Bank	A	Interest	J	T					
109. -North Georgia Bank	A	Interest	J	T					
110. -North Georgia Bank	A	Interest	L	T					
111. -North Georgia Bank	A	Interest	K	T					
112. -North Georgia Bank	A	Interest			Closed	06/24/11	J		
113. -SunTrust (MMA)	A	Interest	L	T					
114. -SunTrust I	A	Interest	J	T	Open	02/21/11	J		
115. -SunTrust II	A	Interest	J	T	Open	02/21/11	J		
116. -SunTrust III	A	Interest	J	T	Open	03/05/11	J		
117. -SunTrust Conv. Acct	A	Interest			Open	03/05/11	J		
118. -----					Closed	10/01/11	J		
119. TRUST BROKERAGE ACCOUNT									

1. Income Gain Codes: (See Columns B1 and D4)	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	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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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baverman, Alan J.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -E-Trade cash balance	A	Interest	J	T	Distributed (part)	1/10/11	K		
121. -Nuveen Preferred and Conv. Income Fund	B	Dividend	J	T					
122. -Pimco High Income Fund PFD SER M Auction Rate	A	Dividend	K	T					
123. BELL & HOWELL RETIREMENT (I) SAVINGS PLAN [REDACTED]									
124. -Fidelity Money Market (FDRXX)	A	Dividend	J	T	Distributed (part)	12/01/11	J		
125. -Fidelity Freedom 2050 (FFFHX)	A	Dividend	J	T					
126. BELL & HOWELL RETIREMENT (II) SAVINGS PLAN [REDACTED]									
127. -Fidelity Mney Market (FDRXX)	A	Dividend	J	T	Distributed (part)	12/01/11	J		
128. -Fidelity Freedom 2050 (FFFHX)	A	Dividend	J	T					
129. BROKERAGE ACCOUNT [REDACTED] (DECD IRA CNDT) (closed 06/14/11)									ferred to Brok Acct 11B
130. -TDAM Money Market Portfolio	A	Interest			Closed	06/14/11	J		
131. -DFA 5 YR Global fixed Income Portfolio		None			Sold	06/08/11	J		
132. BROKERAGE ACCOUNT [REDACTED] (IRA- BDA) (opened 06/14/11)									
133. -Feder. Prime Oblig Trust SH	A	Dividend	K	T	Buy	06/14/11	K		
134. -Feder. Prime Oblig Trust SH	A	Distribution			Distributed (part)	12/21/11	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Bayerman, Alan J.

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

Part I, Line 1: Exercise power of attorney in withdraws from bank account, completing and filing federal and state tax returns, and paying income tax preparer.

Part VII, Line 5: I inadvertently missed that this asset had been sold during the last reporting period. It was sold on April 17, 2010, with Value Code "M" and Gain Code "D"

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Name of Person Reporting

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
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