

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Baxter, Andrew T.	2. Court or Organization District Court-Northern NY	3. Date of Report 04/18/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address James Hanely Federal Building P.O. Box 7396 100 South Clinton Street Syracuse, NY 13261-7396		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee (1 of 4)	Trust #1
2. Vice President	Princeton Alumni Association of Central New York
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*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. Chase (Accounts)	A	Interest	L	T					
2. ally (Account)	A	Interest	J	T					
3. (H) NY's 529 College Savings Program (Accounts)									
4. - Interest Accumulation Portfolio (Bloomberg Barclays Index Fund)					Buy (add'l)	04/11/17	J		
5. -- Interest Accumulation Portfolio (Bloomberg Barclays Index Fund)	A	Interest	J	T	Sold (part)	12/26/17	J	A	
6. (H) Trust #1									
7. - First Citizens Community Bank (Dep. Acct.)	A	Interest	M	T					
8. - Trust #2	C	Interest							
9. - Real Estate Parcel #1, Potter Cty., PA		None	M	W					
10. - Real Estate Parcel #2, Potter Cty., PA		None	L	W					
11. - Real Estate Parcel #3, Potter Cty., PA (w/ gas lease)	A	Royalty	K	W					
12. - Real Estate Right of Way, Potter Cty., PA		None	J	R					
13. (H) UBS IRA #1					Closed	12/18/17	J	A	
14. - Fidelity Advisor Equity Growth Fund. Class A	A	Dividend			Sold	01/23/17	J	A	
15. - Fidelity Advisor Value Strategies Fund, Class A		None			Sold	01/23/17	J	A	
16. - Fidelity Advisor Growth Opportunities Fund, Class C		None			Sold	01/23/17	J	A	
17. - Fidelity Advisor Small Cap Fund, Class A		None			Sold	01/23/17	J		

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

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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) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. - Oppenheimer Global Opportunities Fund, Class A		None			Sold	01/23/17	J	A	
19. - UBS Global Allocation Fund, Class A		None			Sold	01/23/17	J	A	
20. - UBS Banks USA Dep. Acct.					Open	01/23/17	L		
21. -- UBS Bank USA Dep. Acct.					Sold (part)	08/15/17	J		
22. -- UBS Bank USA Dep. Acct.	A	Interest			Closed	12/18/17	K		
23. 1/4 interest in Ameritas Life Ins. Co. whole life policy #1	A	Dividend	K	T					
24. 1/4 interest in Ameritas Life Ins. Co. whole life policy #2	A	Dividend	K	T					
25. 1/4 interest in Ameritas Life Ins. Co. whole life policy #3	A	Dividend	K	T					
26. 1/4 interest in Ameritas Life Ins. Co. whole life policy #4	A	Dividend	J	T					
27. 1/4 interest in Ameritas Life Ins. Co. whole life policy #5	A	Dividend	J	T					
28. 1/4 interest in Ameritas Life Ins. Co. whole life policy #6	A	Dividend	J	T					
29. 1/4 interest in MONY Life Ins. Co. (AXA) whole life policy	A	Dividend	J	T					
30. Real Estate Parcel #4, Potter County, PA		None	J	W					

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

Asset ## 3-5: Additional contribution made to college savings plan, then withdrawal paid towards graduate school tuition for non-depenent child. Interest income for asset is shown only on line 5.

Asset # 8: Trust # 2 is a trust created by a family member other than the reporting person, his spouse, or any dependent child and neither the reporting person, his spouse, nor any dependent child have knowldedge of the holdings or source of income of Trust #2 which was paid to Trust # 1, except that the income was interest that was exempt from income taxation in Pennsylvania.

Asset # 11: Income consists of royalty on gas storage lease from National Fuel Gas Supply Corp.

Asset # 12: The value of the right of way relating to other parcels in Potter County, PA was purchased, on 8/16/2004, for \$2,500 by the donor to the trust, a relative.

Assets ## 20-22: There were multiple transactions involving this asset/account. Interest income for this asset/account is shown only on line 22.

Assets ## 23-29: 100% cash value and dividends reported, although judge owns 1/4 interest in policies (on the life of relatives).

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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/ **Andrew T. Baxter**

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