

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/08/2017
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 01/01/2016 to 12/31/2016
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
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. First Niagara/Key Bank (Accounts)	A	Interest			Closed	5/3/2016	J		
2. Chase (Accounts)	A	Interest	L	T	Open	02/23/16	L		
3. ally (Account)	A	Interest	J	T					
4. (H) NY's 529 College Savings Program (Accounts)			J	T	Open	12/05/16	J		
5. - Interest Accumulation Portfolio (Bloomberg Barclays Index Fund)	A	Interest	J	T					
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									
14. - Fidelity Advisor Equity Growth Fund, Class A	A	Dividend	J	T					
15. - Fidelity Advisor Value Strategies Fund, Class A	B	Dividend	J	T					
16. - Fidelity Advisor Growth Opportunities Fund, Class C	B	Dividend	J	T					
17. - Fidelity Advisor Small Cap Fund, Class A	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 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) 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	A	Dividend	J	T					
19. - UBS Global Allocation Fund, Class A	A	Dividend	J	T	Sold (part)	03/14/16	J	A	
20. 1/4 interest in Ameritas Life Ins. Co. whole life policy #1	A	Dividend	K	T					
21. 1/4 interest in Ameritas Life Ins. Co. whole life policy #2	A	Dividend	K	T					
22. 1/4 interest in Ameritas Life Ins. Co. whole life policy #3	A	Dividend	K	T					
23. 1/4 interest in Ameritas Life Ins. Co. whole life policy #4	A	Dividend	J	T					
24. 1/4 interest in Ameritas Life Ins. Co. whole life policy #5	A	Dividend	J	T					
25. 1/4 interest in Ameritas Life Ins. Co. whole life policy #6	A	Dividend	J	T					
26. 1/4 interest in MONY Life Ins. Co. (AXA) whole life policy	A	Dividend	J	T					
27. Real Estate Parcel #4, Potter County, PA		None	J	W					

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

Asset #1: Keybank National Association acquired or merged with First Niagara at some point in 2016.

Asset #7: First Citizen changed its name from National Bank to Community Bank at some point prior to 2016.

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 knowledge of the holdings or source of income of Trust #2 which was paid to Trust #1, except that the income was tax exempt interest.

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 ## 20-26: 100% cash value and dividends reported, although judge owns 1/4 interest in policies (on the life of a relative).

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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
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