

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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, Susan P.	2. Court or Organization Western District of Pa	3. Date of Report 08/22/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U>S> Magistrate Judge/FT	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. District Court 17 South Park Row Erie, Pa 16501		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Evelyn Lincoln Institute for Ethics and Society of Mercyhurst College Erie Pa.
2. Board Member	Dramashop Erie, Pa.
3. Board of Trustees	Villa Marie Elementary School Erie, Pa
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. 2012 _____

- Salary and Bonus

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. PNC Bank Erie Pa	A	Int./Div.			Closed	04/05/12	K		
2. Alliance Growth Fund Class B	A	Dividend			Closed	04/05/12	J		
3. PNC Bank Retirement Account (Spouse)	G	Int./Div.	O	T					
4. Morgan Stanley IRA					Closed	04/05/12	J		
5. AIM Equity Inc	A	Dividend			Closed	04/05/12	J		
6. American Funds Washington Mutual	A	Dividend			Closed	04/05/12	J		
7. American Funds New Perspective	A	Dividend			Closed	04/05/12	J		
8. American Small Cap World	A	Dividend			Closed	04/05/12	J		
9. Navy Federal Credit Union	A	Dividend	J	T					
10. PNC Bank CD	A	Interest	J	T					
11. Pennsylvania Tuition Account Program		None	L	U					
12. [REDACTED] Erie Pa	A	Rent	K	W					
13. [REDACTED] Erie Pa	A	Rent	K	W					
14. U.S. Savings Bonds	A	Interest	J	T					
15. PNC Brokerage Account:					Closed	02/01/12	K		
16. JP Morgan Emerging Markets	A	Dividend			Closed	02/01/12	J		
17. T Rowe Mid Cap	A	Dividend			Closed	02/01/12	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) 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)

18. Federated Kaufman Small Cap	A	Dividend			Closed	02/01/12	J		
19. American Funds Investment Company	A	Dividend			Closed	02/01/12	J		
20. American Funds Growth	A	Dividend			Closed	02/01/12	J		
21. American Funds Euro Pacific	A	Dividend			Closed	02/01/12	J		
22. Franklin Small Cap	A	Dividend			Closed	02/01/12	J		
23. Eaton Vance Multi-Cap	A	Dividend			Closed	02/01/12	J		
24. Blackrock International	A	Dividend			Closed	02/01/12	J		
25.									
26. Met Life	A	Int./Div.	J	T	Distributed	12/03/12	J		
27. First Commonwealth Financial	A	Dividend	K	T	Distributed	12/03/12	K		
28.									
29. UBS Financial PMP	A	Int./Div.	L	T					
30. UBS Financial PMP	A	Int./Div.	L	T					
31.									
32.									
33. UBS PMP Joint Account/IRA:	C	Int./Div.	N	T					
34.									

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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35.									
36. Gold Miners ETF x	E	Int./Div.	K	U	Buy	07/10/12	K		
37. Coal ETF x	E	Int./Div.	K	U	Buy	07/10/12	K		
38. Junior Miners ETF x	E	Int./Div.	K	U	Buy	11/14/12	K		
39. Oil Services ETF x	D	Int./Div.	J	U	Buy	11/08/12	J		
40. QQQ ETF x	D	Int./Div.	J	U	Buy	12/26/20	J		
41. Utilities ETF x	D	Int./Div.	J	U	Buy	11/08/12	J		
42. Blackrock LTD Duration X	C	Interest	J	U	Buy	06/14/12	J		
43. Blackrock Core Bond X	D	Interest	J	U	Buy	08/23/12	J		
44. Eaton Vance LTD Duration X	A	Interest	J	U	Buy	06/28/12	J		
45. First Trust Floating Rate x	E	Interest	K	U	Buy	04/04/12	K		
46. Ishares 0-5 TIPS x	D	Interest	J	U	Buy	08/23/12	J		
47. PIMCO 0-5 Corporate Bond ETF x	D	Interest	J	U	Buy	08/23/12	J		
48. PIMCO 1-5 TIPS x	E	Interest	K	U	Buy	08/23/12	K		
49. POWERSHARES ETF Trust x	D	Interest	J	U	Buy	08/23/12	J		
50. SPDR Floating Rate ETF x	D	Interest	J	U	Buy	08/23/12	J		
51. Vanguard Short Bond Index x	E	Interest	K	U	Buy	05/21/12	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. WISDOMTREE Debt Fund ETF x	D	Interest	J	U	Buy	08/23/12	J		
53. Central Fund of Canada x	D	Int./Div.	J	U	Buy	08/09/12	J		
54. IShares SLV Trust x	C	Int./Div.	J	U	Buy	12/20/12	J		
55. POWERSHARES Agriculture ETF x	B	Int./Div.	J	U	Buy	04/26/12	J		
56. U.S. Oil ETF x	C	Int./Div.	J	U	Buy	07/05/12	J		
57. Peabody Energy x	A	Int./Div.	J	U	Buy	07/25/12	J		
58. Royal Gold x	A	Int./Div.	J	U	Buy	12/07/12	J		
59. Global Miners ETF x	B	Int./Div.	J	U	Buy	07/20/12	J		
60. Market Vectors Miners x	B	Int./Div.	J	U	Buy	07/18/12	J		
61. Coal ETF x	A	Int./Div.	J	U	Buy	12/07/12	J		
62. Junior Miners ETF x	D	Int./Div.	J	U	Buy	11/14/12	J		
63. Oil Services ETF x	D	Int./Div.	J	U	Buy	11/08/12	J		
64. Central Fund of Canada x	A	Int./Div.	J	U	Buy	11/14/12	J		
65. Ishares SLV ETF x	B	Int./Div.	J	U	Buy	12/20/12	J		
66. Blackrock Core Bond x	A	Interest	J	U	Buy	08/23/12	J		
67. First Trust Floating Trust x	B	Interest	J	U	Buy	07/06/12	J		
68. Ishares 0-5 TIP x	D	Interest	J	U	Buy	07/09/12	J		

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69. PIMCO 0-5 Corporate ETF x	C	Interest	J	U	Buy	08/23/12	J		
70. PIMCO 1-5 TIPS x	D	Interest	J	U	Buy	08/23/12	J		
71. POWERSHARES ETF Trust x	C	Interest	J	U	Buy	08/23/12	J		
72. SPDR Floating Rate ETF x	C	Interest	J	U	Buy	08/23/12	J		
73. VANGUARD Short Term Bond x	C	Interest	J	U	Buy	08/09/12	J		
74. WISDOMTREE Debt Fund ETF x	B	Interest	J	U	Buy	08/23/12	J		
75.									
76.									
77.									
78.									
79.									
80.									
81.									
82.									
83.									
84.									

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

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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/ Susan P. 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