

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 Pennsylvania	3. Date of Report 11/13/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court 17 South Park Row Room A280 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.		

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 University, Erie, PA
2. Board Member	Dramashop, Erie, PA
3. Board of Trustees, Secretary	Villa Maria Elementary School, Erie, PA
4. Board Member	Erie Arts and Culture
5. Co-Executor	Estate [REDACTED]

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.	Academy of Trial Lawyers of Allegheny County	10/03/2013 - 10/04/2013	Nemacolin Woodlands, PA	Masters of Trial Advocacy Retreat	Lodging and Food
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. PNC Bank Retirement Account (Spouse)	G	Int./Div.	O	T					
2. Navy Federal Credit Union	A	Interest	J	T					
3. Pennsylvania Tuition Account 529 Program - Guaranteed Savings Plan		None	L	T					
4. [REDACTED] Erie County, PA	A	Rent	K	W					
5. [REDACTED] Erie County, PA	A	Rent	K	W					
6. U.S. Savings Bonds	A	Interest	J	T					
7. UBS PMP Accounts									
8. AT&T	A	Dividend	K	T	Open	12/05/13	K		
9. KBR Inc.	A	Dividend	K	T	Open	12/12/13	K		
10. Occidental Petroleum	A	Dividend	L	T	Open	12/12/13	L		
11. Peabody Energy	A	Dividend	L	T	Open	12/23/13	L		
12. Royal Gold	A	Dividend	J	T	Open	11/26/13	J		
13. Silver Wheaton	A	Dividend	J	T	Open	12/23/13	J		
14. Vale	A	Dividend	K	T	Open	11/19/13	K		
15. iShares EWW	A	Dividend	J	T	Open	11/12/13	J		
16. iShares KOL	A	Dividend	J	T	Open	12/19/13	J		
17. iShares OIH	A	Dividend	K	T	Open	11/19/13	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 = \$250,001 - \$500,000,000	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 \$5,000,000,000	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) 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. IShares GDXJ	B	Dividend	M	T	Open	07/31/13	M		
19. IShares DIA	A	Dividend	K	T	Open	12/12/13	K		
20. IShares BSJF	A	Interest	J	T	Open	05/31/13	J		
21. IShares BSJE	A	Interest	J	T	Open	08/23/13	J		
22. IShares BSJH	A	Interest	J	T	Open	08/23/13	J		
23. FUND TLI	C	Interest	K	T	Open	05/21/13	K		
24. Powershares BKLN	C	Interest	K	T	Open	03/12/13	K		
25. PUTNAM PIM	C	Interest	K	T	Open	05/21/13	K		
26. SPDR SJNK	B	Interest	K	T	Open	02/28/13	K		
27. VANGUARD BSV	C	Interest	L	T	Open	08/09/13	L		
28. WESTERN ASSET IGI	C	Interest	K	T	Open	10/10/13	K		
29. IShares ELD	B	Interest	K	T	Open	12/23/13	K		
30. Central Fund of Canada	A	None	J	T	Open	12/19/13	J		
31. IShares SLV	A	None	K	T	Open	11/13/13	K		
32. ETF USO	A	None	K	T	Open	10/21/13	K		
33. ETF UNG	A	None	J	T	Open	10/31/13	J		
34. IShares EWZ	A	Int./Div.	J	T	Open	02/21/13	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. BLACKROCK BLW	A	Int./Div.	J	T	Open	10/18/13	J		
36. IShares EWY	A	Int./Div.	J	T	Open	03/13/13	J		
37. IShares EWZ	A	Int./Div.	J	T	Open	02/21/13	J		
38. Gold Miners ETF	E	Int./Div.	K	U	Sold	03/13/13	K		
39. Coal ETF	E	Int./Div.	K	U	Sold	09/04/13	K	A	
40. Junior Minors ETF	E	Int./Div.	K	U	Sold	09/18/13	K		
41. Oil Services ETF	D	Int./Div.	J	U	Sold	08/16/13	J	A	
42. QQQ ETF	D	Int./Div.	J	U	Sold	08/02/13	J	A	
43. Utilities ETF	D	Int./Div.	J	U	Sold	03/13/13	J		
44. Blackrock LTD Duration	C	Interest	J	U	Sold	01/09/13	J	A	
45. Blackrock Core Bond	D	Interest	J	U	Sold	05/08/13	J		
46. Eaton Vance LTD Duration	A	Interest	J	U	Sold	02/05/13	J	A	
47. First Trust Floating Rate	E	Interest	K	U	Sold	02/05/13	K	A	
48. Ishares 0-5 TIPS	D	Interest	J	U	Sold	02/28/13	J	A	
49. PIMCO 0-5 Corporate Bond ETF	D	Interest	J	U	Sold	03/12/13	J	A	
50. PIMCO 1-5 TIPS	E	Interest	K	U	Sold	02/28/13	K	A	
51. POWERSHARES ETF Trust	D	Interest	J	U	Sold	05/21/13	J		

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52. SPDR Floating Rate ETF	D	Interest	J	U	Sold	02/28/13	J	A	
53. Vanguard Short Bond Index	E	Interest	K	U	Sold	05/21/13	K	A	
54. WISDOMTREE Debt Fund ETF	D	Interest	J	U	Sold	03/12/13	J		
55. Central Fund of Canada	D	Int./Div.	J	U	Sold	01/14/13	J		
56. IShares SLV Trust	C	Int./Div.	J	U	Sold	09/19/13	J	A	
57. POWERSHARES Agriculture ETF	B	Int./Div.	J	U	Sold	09/27/13	J	A	
58. U.S Oil ETF	C	Int./Div.	J	U	Sold	03/13/13	J	A	
59. Peabody Energy	A	Int./Div.	J	U	Sold	01/18/13	J	A	
60. Royal Gold	A	Int./Div.	J	U	Sold	12/31/13	J		
61. Global Miners ETF	B	Int./Div.	J	U	Sold	10/25/13	J	A	
62. Market Vectors Miners	B	Int./Div.	J	U	Sold	03/13/13	J	A	
63. Coal ETF	A	Int./Div.	J	U	Sold	10/18/13	J	A	
64. Junior Miners ETF	D	Int./Div.	J	U	Sold	10/31/13	J		
65. Oil Services ETF	D	Int./Div.	J	U	Sold	08/16/13	J	A	
66. Central Fund of Canada	A	Int./Div.	J	U	Sold	01/28/13	J		
67. IShares SLV ETF	B	Int./Div.	J	U	Sold	09/19/13	J	A	
68. Blackrock Core Bond	A	Interest	J	U	Sold	05/21/13	J		

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69. First Trust Floating Trust	B	Interest	J	U	Sold	02/05/13	J	A	
70. IShares 0-5 TIP	D	Interest	J	U	Sold	02/28/13	J	A	
71. PIMCO 0-5 Corporate ETF	C	Interest	J	U	Sold	07/05/13	J	A	
72. PIMCO 1-5 TIPS	D	Interest	J	U	Sold	02/28/13	J	A	
73. POWERSHARES ETF Trust	C	Interest	J	U	Sold	10/17/13	J		
74. SPDR Floating Rate ETF	C	Interest	J	U	Sold	02/28/13	J	A	
75. VANGUARD Short Term Bond	C	Interest	J	U	Sold	10/17/13	J	A	
76. WISDOMTREE Debt Fund	B	Interest	J	U	Sold	06/03/13	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 3: No control

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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