

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/28/2019
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 01/01/2018 to 12/31/2018
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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. George Mason Judicial Education Program, Law and Economics Center	10/21/2018-10/24/2018	Arlington, VA	Non-government Educational Program	Travel (by personal vehicle), meals, lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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)	04/16/18	J		
5. -- Interest Accumulation Portfolio (Bloomberg Barclays Index Fund)	A	Interest	J	T	Sold (part)	07/10/18	J	A	
6. (H) Trust #1									
7. - First Citizens Community Bank (Dep. Acct.)	A	Interest	L	T					
8. - Charles Schwab Bank, High Yield Investor Checking	A	Interest	K	T	Open	10/18/18	K		
9. - Charles Schwab, Schwab One Trust Account	A	Interest	N	T	Open	10/10/18	N		
10. -- Schwab Value Advantage Money Fund Investor Shares (SWVXX)	A	Dividend	N	T	Buy	11/26/18	N		
11. -- Schwab U.S. Broad Market ETF (SCHB)	A	Dividend	K	T	Buy	11/26/18	K		
12. -- Vanguard High Dividend Yield Index Fund ETF ("VYM")	A	Dividend	K	T	Buy	11/26/18	K		
13. - Real Estate Parcel #1, Potter Cty., PA	F	Royalty	M	W					
14. - Real Estate Parcel #2, Potter Cty., PA		None	L	W					
15. - Real Estate Parcel #3, Potter Cty., PA (w/ gas lease)	A	Royalty	K	W					
16. - Real Estate Right of Way, Potter Cty., PA		None	J	R					
17. Trust #2	E	Int./Div.							

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	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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)

18. 1/4 interest in Ameritas Life Ins. Co. whole life policy #1	A	Dividend	K	T					
19. 1/4 interest in Ameritas Life Ins. Co. whole life policy #2	A	Dividend	K	T					
20. 1/4 interest in Ameritas Life Ins. Co. whole life policy #3	A	Dividend	K	T					
21. 1/4 interest in Ameritas Life Ins. Co. whole life policy #4	A	Dividend	J	T					
22. 1/4 interest in Ameritas Life Ins. Co. whole life policy #5	C	Dividend			Matured	06/19/18	J		
23. 1/4 interest in Ameritas Life Ins. Co. whole life policy #6	A	Dividend			Expired	04/01/18	J		
24. 1/4 interest in MONY Life Ins. Co. (AXA) whole life policy	A	Dividend	J	T					
25. 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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 ## 8-9: Charles Schwab accounts opened with gift of funds from a relative and transfer from the trust's First Citizens account.

Asset # 13: Income consisted of one-time royalty for sub-surface natural gas rights from JKLM Energy, LLC.

Asset # *15: Income consists of royalty on natural gas storage lease from National Fuel Gas Supply Corp.

Asset # *16: 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.

Asset # *17: Trust # 2 is a trust created and owned by relatives other than the reporting judge, his spouse, or any dependent child and neither the reporting judge, his spouse, nor any dependent child have knowledge of the holdings or source of income of Trust # 2. The reported income range represents the gross distribution to the reporting judge. The distribution included between \$5,001-\$15,000 in taxable income and dividends, with the balance apparently representing distribution of principal or other non-taxable income. The reporting judge has been advised that Trust # 2 was liquated in 2018.

Assets ## *18-21, 24: 100% cash value and dividends reported, although reporting judge owns 1/4 interest in policies (on the life of a living relative).

Asset # 22: Life insurance policy on the life of a living relative matured. Gross distribution to the reporting judge was greater than the taxable amount, which was in the range of \$1,001-\$2,500.

Asset # 23: Life insurance policy paid death benefit on the life of a relative who died during 2018, 1/4 of which was paid to the reporting judge.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/28/2019

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