

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/30/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address James Hanely Federal Building P.O. Box 7396 100 South Clinton Street Syracuse, NY 13261-7396		
IMPORTANT NOTES: <i>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>		

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. Co-Trustee (1 of 2)	Trust #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.	

Name of Person Reporting	Date of Report
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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

[X] 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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Chase (Accounts)	A	Interest	K	T					
2. ally (Account)	A	Interest	J	T					
3. (H) Charles Schwab Schwab-One Account	A	Interest	K	T	Open	05/05/19	K		
4. -Schwab Advantage Money Fund (SWVXX)	A	Dividend	J	T	Buy	05/09/19	K		
5. --Schwab Advantage Money Fund (SWVXX)					Sold (part)	09/17/19	K	A	
6. -U.S. Treasury Note #1	A	Interest	K	T	Buy	09/20/19	K		
7. -U.S. Treasury Note #2			K	T	Buy	09/20/19	K		
8. (H) NY's 529 College Savings Program (Accounts)					Closed	01/03/19	J		
9. - Interest Accumulation Portfolio (Bloomberg Barclays Index Fund)	A	Interest			Sold	01/03/19	J		
10. (H) Trust #1									
11. - First Citizens Community Bank (Dep. Acct.)	A	Interest	J	T					
12. - Charles Schwab Bank, High Yield Investor Checking	A	Interest	K	T					
13. - Charles Schwab, Schwab One Trust Account	A	Interest	N	T					
14. --Schwab Advantage Money Fund (SWVXX)	C	Dividend	J	T	Buy	07/30/19	K		
15. --Schwab Advantage Money Fund (SWVXX)					Sold (part)	09/16/19	N	C	
16. --Schwab US Broad Market EFT (SCHB)	A	Dividend			Sold	09/16/19	K	C	
17. -- Vanguard High Dividend Yield Index Fund ETF (VYM)	A	Dividend			Sold	09/16/19	K	B	

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. --U.S. Treasury Note #XH8	A	Interest			Buy	09/20/19	M		
19. --U.S. Treasury Note #VV9					Buy	09/20/19	M		
20. --U.S. Treasury Bill #TH-2					Buy	09/20/19	L		
21. - Real Estate Parcel #1, Potter Cty., PA		None	M	W					
22. - Real Estate Parcel #2, Potter Cty., PA		None	L	W					
23. - Real Estate Parcel #3, Potter Cty., PA (w/ gas lease)	A	Royalty	K	W					
24. - Real Estate Right of Way, Potter Cty., PA		None	J	R					
25. 1/4 interest in Ameritas Life Ins. Co. whole life policy #1	A	Dividend	K	T					
26. 1/4 interest in Ameritas Life Ins. Co. whole life policy #2	A	Dividend	K	T					
27. 1/4 interest in Ameritas Life Ins. Co. whole life policy #3	A	Dividend	K	T					
28. 1/4 interest in Ameritas Life Ins. Co. whole life policy #4	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					
31. (H) Trust #3									
32. -Citizens & Northern Bank	A	Interest	J	T	Open	08/19/19	K		
33. -SunTurst	A	Interest	K	T					
34. -Charles Schwab, Schwab One Trust Account	A	Interest	P1	T					

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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. --U.S. Treasury Bill #RN1	D	Interest			Matured	12/05/19	M		
36. --U.S. Treasury Note #A42			M	T	Buy	12/27/19	M		
37. --U.S. Treasury Note #N48	A	Interest	M	T	Buy	12/27/19	M		
38. --U.S. Treasury Note #M98	B	Interest	M	T	Buy	11/15/19	M		
39. --U.S. Treasury Bill #RM3	D	Interest			Matured	11/07/19	M		
40. --U.S. Treasury Bill #RF8	D	Interest			Matured	10/10/19	M		
41. --U.S. Treasury Note #WC0	B	Interest	M	T	Buy	10/16/19	M		
42. --U.S. Treasury Bill #RA9	B	Interest			Matured	09/12/19	L		
43. --U.S. Treasury Note #XH8	A	Interest	L	T	Buy	09/20/19	M		
44. --U.S. Treasury Note #VV9			M	T	Buy	09/20/19	M		
45. --U.S. Treasury Note #VZO	A	Interest	M	T	Buy	09/20/19	M		
46. --U.S. Treasury Note #2J8			L	T	Buy	09/20/19	L		
47. --U.S. Treasury Bill #SV2			L	T	Buy	06/20/19	L		
48. --U.S. Treasury Bill #QM4	B	Interest			Matured	06/20/19	L		
49. --U.S. Treasury Bill #SM2			L	T	Buy	04/25/19	L		
50. --U.S. Treasury Bill #QC6	B	Interest			Matured	04/25/19	L		
51. --U.S. Treasury Bill #SH3			L	T	Buy	03/28/19	L		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. --U.S. Treasury Bill #PX1	B	Interest			Matured	03/28/19	L		
53. --U.S. Treasury Bill #SD2			L	T	Buy	02/28/19	L		
54. --U.S. Treasury Bill #PTO	B	Interest			Matured	02/28/19	L		
55. --U.S. Treasury Bill #RT8			L	T	Buy	01/03/19	L		
56. --U.S. Treasury Bill #PK9	B	Interest			Matured	01/03/19	L		
57. --U.S. Treasury Bill #RY7			L	T	Buy	01/31/19	L		
58. --U.S. Treasury Bill #PP8	B	Interest			Matured	01/31/19	L		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

Position #1: Trust #1 is a trust of the reporting judge and other family members.

Position #3: Trust #3 is a trust of a family member. Reporting judge was appointed as a co-trustee on 01/24/19. The other co-trustee died on 01/07/2020.

Asset #3: Shows Schwab One interest only.

Asset ##4-5: Dividends on SWVXX and year end balance reported only on line 4.

Asset #7: No interest paid in 2019 on U.S. Treasury Note #2.

Asset ##8-9: Final withdrawals paid towards graduate school tuition for non-depenent child and account closed. Interest income for asset is shown only on line 9.

Asset #13: Shows Schwab One interest only.

Asset ##14-15: Dividends on SWVXX and year end balance reported only on line 14.

Asset ##19, 20: No interest paid in 2019 on U.S. Treasury Note #VV9 or U.S. Treasury Bill #TH-2.

Asset #23: Income consists of royalty on natural gas storage lease from National Fuel Gas Supply Corp.

Asset #24: The value of the right of way relating to other parcels in Potter County, PA was purchased, on 08/16/2004, for \$2,500 by the donor to the trust, a relative.

Assets ##25-29: 100% cash value and dividends reported, although reporting judge owns 1/4 interest in policies (on the life of a relative alive in 2019, although he died on 01/07/2020).

Assets #33: Account existed as of 01/24/19, when reporting judge was made a co-trustee.

Assets #34: Account existed as of 01/24/19, when reporting judge was made a co-trustee. Some Treasury Bills in the Charles Schwab account were purchased prior to reporting judges appointment as co-trustee. Line 34 Shows Schwab One interest only.

Assets ##35-58: Interest on Treasury Bills and Notes reported only if paid in 2019.

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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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One Columbus Circle, N.E.
Washington, D.C. 20544