

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, Susan P.	2. Court or Organization Western District of Pennsylvania	3. Date of Report 09/16/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court 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 U.S. District Court 17 South Park Row Room A 280 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. Board Member	Dramashop, Erie, PA
2. Board Member	Erie Arts and Culture, Erie, PA
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	- Salary & 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Trial Advocacy College	01/06/2019 to 01/10/2019	Charlottesville, VA	instructor for program	Room & Meals
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. PNC Bank, N.A.	Portfolio Line of Credit	K
3. Bank of America	Credit Card	J
4. Chase	Credit Card	J
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. PNC Bank Checking/Money Market Accounts	A	Interest	L	T					
2. Navy Federal Credit Union Account	A	Interest	J	T					
3. PA Tuition Account 529 - Guaranteed Savings Plan		None	J	T					
4. [REDACTED], City of Erie, Erie County, PA	E	Rent	K	W					
5. [REDACTED], City of Erie, Erie County, PA	D	Rent	K	W					
6. U.S. Savings Bonds - Series EE Bonds	A	Interest	J	T	Sold (part)	12/30/19	J		
7. PNC WM ACCOUNTS: (H)									
8. - Harding Loevner International Equity (HLMIX)	A	Dividend	J	T	Sold (part)	09/05/19	J	A	
9. - IShares MSCI Emerging Markets ETF (EEM)	A	Dividend	J	T	Sold (part)	04/16/19	J	B	
10.					Sold (part)	11/22/19	J	A	
11. - IShares Core S&P Mid-Cap ETF (IJH)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
12.					Sold (part)	08/30/19	J	B	
13.					Sold (part)	11/22/19	J	A	
14. - IShares Core S&P Small-Cap ETF (IJR)	A	Dividend	K	T	Buy (add'l)	04/16/19	J		
15.					Buy (add'l)	07/02/19	J		
16.					Sold (part)	08/30/19	J		
17. - MFS Value Fund (MEIIX) "Y"		None			Sold	01/24/19	K	C	

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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18. - Metropolitan West Unconstrained Bond Fd (MWCIX)	A	Dividend			Sold	03/04/19	J	A	
19. - T Rowe Price Growth Stock Fd (PRGFX)	A	Dividend	K	T	Buy (add'l)	01/24/19	J		
20.					Sold (part)	07/02/19	J	C	
21.					Sold (part)	08/30/19	J	B	
22. - T Rowe Price Summit Muni Fd (PRINX)	A	Dividend	J	T	Sold (part)	04/03/19	L		
23. - T Rowe Price Value Fd (TRVLX) "Y"		None			Sold	01/24/19	K	A	
24. - T Rowe Price Floating Rate Fd (PFFRX)	A	Dividend			Sold (part)	03/04/19	K	A	
25.					Sold (part)	03/15/19	J	A	
26.					Sold	04/03/19	J		
27. - Vanguard Inter-Term Tax Exempt Fd (VWIUX)	C	Dividend	M	T	Buy (add'l)	01/24/19	J		
28.					Buy (add'l)	03/05/19	K		
29.					Buy (add'l)	06/11/19	J		
30.					Sold (part)	08/30/19	K	A	
31.					Sold (part)	11/22/19	J	A	
32.					Sold (part)	12/11/19	J	A	
33. - Fidelity Government Money Market Fd (FMPXX) new ticker (FIGXX) "X"	A	Dividend	K	T	Buy (add'l)	11/22/19	K		
34. - PNC Govt. Money Market #405	A	Dividend			Sold	09/30/19	J		

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35. - Baird Aggregate Bond Fd #72 (BAGIX)	A	Dividend	J	T	Buy (add'l)	01/24/19	J		
36.					Buy (add'l)	03/04/19	J		
37.					Sold (part)	04/03/19	J		
38. - Dodge & Cox Income Fd #147 (DODIX)	A	Dividend	J	T	Buy (add'l)	01/24/19	J		
39.					Buy (add'l)	03/04/19	J		
40.					Sold (part)	04/03/19	J		
41. - Vanguard Growth ETF (VUG)	A	Dividend	K	T	Sold (part)	01/24/19	J	B	
42.					Sold (part)	07/02/19	K	D	
43.					Sold (part)	11/22/19	J	A	
44. - Vanguard International Value Fd #46 (VTRIX)	A	Dividend	J	T	Buy (add'l)	04/17/19	J		
45. - iShares MSCI EAFE ETF (EFA)	A	Dividend	J	T	Buy (add'l)	04/16/19	J		
46.					Sold (part)	08/30/19	J		
47.					Sold (part)	11/22/19	J	A	
48. - iShares MSCI EAFE Small Cap ETF (SCZ)	A	Dividend	J	T	Buy (add'l)	04/16/19	J		
49.					Buy (add'l)	07/03/19	J		
50. - WCM Focused Intl Growth -Fd (WCMIX)	A	Dividend	J	T	Buy (add'l)	04/16/19	J		
51. - Edgewood Growth Fd (EGFIX)	A	Dividend	J	T	Buy (add'l)	04/16/19	J		

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52. - Cambiar Intl Equity Fd (CAMYX)	A	Dividend	J	T					
53. - Lazard Global Listed Infrastructure Fd #1243 (GLIFX)	A	Dividend	J	T	Buy (add'l)	04/16/19	J		
54.					Sold (part)	08/30/19	J		
55.					Sold (part)	11/22/19	J	A	
56. - Harbor Large Cap Value Fd (HAVLX)	A	Dividend	K	T	Buy (add'l)	01/24/19	K		
57.					Buy (add'l)	04/16/19	J		
58.					Sold (part)	08/30/19	J	A	
59. - Delaware Value Fund Class I (DDVIX)	A	Dividend			Buy	01/24/19	K		
60.					Buy (add'l)	04/16/19	J		
61.					Merged (with line 62)	04/18/19	K		
62. - Delaware Value Fund - R6 (DDZRX)	A	Dividend			Buy	04/18/19	K		
63.					Sold (part)	07/02/19	K	B	
64.					Sold	07/23/19	K	B	
65. - Principal Mid Cap Fund - R6 (PMAQX)	A	Dividend	K	T	Buy	04/16/19	J		
66.					Buy (add'l)	07/02/19	K		
67. PNC Bank NA Deposit Sweep Money Market	A	Interest	J	T	Buy	09/30/19	J		
68. - Schwab US REIT ETF (SCHH)	A	Dividend	J	T	Buy	07/02/19	J		

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69. - Vanguard Value EFT (VTV)	A	Dividend	K	T	Buy	07/23/19	K		
70.					Sold (part)	11/22/19	J	A	
71. - Vanguard FTSE Emerging Markets (VWO)	A	Dividend	J	T	Buy	04/16/19	J		
72.					Buy (add'l)	07/03/19	J		
73.					Sold (part)	08/30/19	J		
74. - Western Asset Core Plus Bond Fd (WACPX)	A	Dividend	J	T	Buy	04/03/19	J		
75. - Wells Fargo Municipal Bond Fund (WMBIX)	B	Dividend	L	T	Buy	04/03/19	L		
76.					Sold (part)	08/30/19	J	A	
77. PNC RETIREMENT ACCOUNT (H)									
78. - Artisan International Fd (APDIX)		None			Sold	06/27/19	J	A	
79. - Baird Aggregate Bond Fd (BAGIX)	D	Dividend	M	T	Sold (part)	06/27/19	K	A	
80. - Dodge & Cox International Fd (DODFX)	A	Dividend	K	T					
81. - Fidelity Money Market Fd (FMPXX) now (FIGXX)	A	Dividend	J	T					
82. - Harding Loevner Internationl (HLMIX)	A	Dividend	K	T	Sold (part)	09/06/19	J	B	
83. - IShares MSCI EAFE Small Cap (SCZ)	A	Dividend	K	T	Buy (add'l)	06/27/19	K		
84. - IShares S&P Small Cap (IJS)	A	Dividend	L	T	Buy (add'l)	06/27/19	K		
85. - Metropolitan West Unconstrained Bond (WMCIX)	A	Dividend	K	T	Buy (add'l)	09/06/19	J		

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86. - T Rowe Price Growth Stock (PRGFX)	B	Dividend	L	T	Sold (part)	06/27/19	K	D	
87. - T Rowe Price Mid Cap Value (TRMCX)		None			Sold	12/11/19	K	D	
88. - T Rowe Price New Horizons (PRNHX)	C	Dividend	K	T					
89. - Vanguard FTSE Emerging (VWO)	A	Dividend	K	T	Buy (add'l)	06/27/19	K		
90. - Vanguard Intermediate Term Bond (VFIDX)	D	Dividend	M	T	Sold (part)	06/27/19	J	A	
91. - Virtus SEIX Floating Rate Income Fd (SAMBX)	B	Dividend	K	T					
92. - Principal Mid Cap Fund (PCBIX)		None			Merged (with line 105)	04/12/19	K		
93. - SPDR S&P 500 ETF (SPY)	C	Dividend	M	T	Sold (part)	06/27/19	K	D	
94. - Vanguard International Value Fd (VTRIX)	A	Dividend	K	T					
95. - Vanguard Growth ETF (VUG)	A	Dividend	L	T					
96. - iShare MSCI EAFE ETF (EFA)	A	Dividend	K	T					
97. - Dodge & Cox Income Fd #147 (DODIX)	D	Dividend	M	T	Sold (part)	06/27/19	K	A	
98. - Delaware Value Fd (DDVIX)	A	Dividend			Merged (with line 102)	04/18/19	L		
99. - Lazard Global Listed Infrastructure Fd #1243 (GLIFX)	B	Dividend	L	T	Sold (part)	06/27/19	J	A	
100. - Harbor Large Cap Value Fd (HAVLX)	A	Dividend	M	T	Buy (add'l)	07/23/19	K		
101. - Vanguard Inflation Protected Securities Fd #5119 (VAIPX)	A	Dividend			Sold	06/27/19	K	B	
102. - Delaware Value Fund - R6 (DDZRX)	A	Dividend			Buy	04/18/19	L		

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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)
103.					Sold (part)	06/27/19	J		
104.					Sold	07/23/19	L		
105. - Principal Mid Cap Value Fd - R6 (PMAQX)	B	Dividend	K	T	Buy	04/12/19	K		
106.					Sold (part)	06/27/19	J	C	
107. - Nuance Mid Cap Value - Z (NMVZX)	C	Dividend	L	T	Buy	12/11/19	K		
108. - Schwab US REIT (SCHH)	A	Dividend	K	T	Buy	06/27/19	K		
109. - Touchstone Mid Cap Grow - Inst (TEGIX)	C	Dividend	K	T	Buy	06/27/19	K		
110. - Vanguard Value ETF (VTV)	A	Dividend	L	T	Buy	07/23/19	L		
111. - Western Asset Core Plus Bond Fd (WACPX)	C	Dividend	L	T	Buy	06/27/19	L		
112. Croation Fraternal Union Whole Life Insurance Policy	A	Dividend	J	T					
113. Crown Life Insurance Guaranteed Universal "W"	A	Interest	J	T					
114. Crown Life Insurance Guaranteed Universal "H"	A	Interest	J	T					
115.									

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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Name of Person Reporting

Baxter, Susan P.

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

Line 17 - MEIIX value was overstated as "L" in prior report for 2018, It should have been "K" .

Line 23 - TRVLX value was overstated as "L" in prior report for 2018. It should have been "K".

Line 33 - FMPXX ticker was changed to FIGXX

Lines 59, 62, 98 and 102 - DDVIX was a tax-free exchange into DDZRX for internal mutual fund expense purposes.

Lines 92 and 105 - PCBIX was a tax-free exchange into PMAQX for internal mutual fund expense purposes

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baxter, Susan P.

Date of Report

09/16/2021

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