

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Baxter, Andrew T.                                                                                                                    | <b>2. Court or Organization</b><br><br>District Court-Northern NY                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>04/17/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Magistrate Judge (FT)                                                         | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>James Hanely Federal Building<br>P.O. Box 7396<br>100 South Clinton Street<br>Syracuse, NY 13261-7396                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Trustee             | 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.          |                          |

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Name of Person Reporting

Baxter, Andrew T.

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



NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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.          |                        |
| 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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Baxter, Andrew T.        | 04/17/2021     |

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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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Chase (Accounts)                                                                                                        | A                                      | Interest                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Ally Bank (Account & CDs)                                                                                               | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Citizens Bank                                                                                                           | A                                      | Interest                                      | L                                              | T                                         | Open                                            | 10/02/20                | K                               |                                |                                                                   |
| 4. (H) Charles Schwab Schwab-One Account                                                                                   | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. -Schwab Advantage Money Fund (SWVXX)                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. -U.S. Treasury Note #1                                                                                                  | A                                      | Interest                                      |                                                |                                           | Matured                                         | 06/30/20                | K                               |                                |                                                                   |
| 7. -U.S. Treasury Note #2                                                                                                  | A                                      | Interest                                      |                                                |                                           | Matured                                         | 08/21/20                | K                               |                                |                                                                   |
| 8. (H) Trust #1                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 9. - First Citizens Community Bank (Dep. Acct.)                                                                            | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. - Ally Bank CD                                                                                                         |                                        | None                                          |                                                |                                           | Open                                            | 05/15/20                | M                               |                                |                                                                   |
| 11. - Charles Schwab Bank, High Yield Investor Checking                                                                    | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. - Charles Schwab, Schwab One Trust Account                                                                             | A                                      | Interest                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. --Schwab Advantage Money Fund (SWVXX)                                                                                  | C                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. -- Vanguard High Dividend Appreciation ETF (VIG)                                                                       | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 09/23/20                | L                               |                                |                                                                   |
| 15. --U.S. Treasury Note #XH8                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 06/30/20                | L                               | A                              |                                                                   |
| 16. --U.S. Treasury Note #VV9                                                                                              | B                                      | Interest                                      |                                                |                                           | Matured                                         | 08/31/20                | L                               | A                              |                                                                   |
| 17. --U.S. Treasury Bill #TH-2                                                                                             | A                                      | Interest                                      |                                                |                                           | Matured                                         | 03/05/20                | L                               |                                |                                                                   |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/17/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. - Real Estate Parcel #1, Potter Cty., PA                                                                               |                                        | None                                          | M                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. - Real Estate Parcel #2, Potter Cty., PA                                                                               |                                        | None                                          | L                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. - Real Estate Parcel #3, Potter Cty., PA (w/<br>gas lease)                                                             | A                                      | Royalty                                       | K                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. - Real Estate Right of Way, Potter Cty., PA                                                                            |                                        | None                                          | J                                              | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. 1/4 interest in Ameritas Life Ins. Co. whole<br>life policy #1                                                         | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 03/25/20                | J                               |                                |                                                                   |
| 23. 1/4 interest in Ameritas Life Ins. Co. whole<br>life policy #2                                                         | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 03/25/20                | J                               |                                |                                                                   |
| 24. 1/4 interest in Ameritas Life Ins. Co. whole<br>life policy #3                                                         | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 03/25/20                | J                               |                                |                                                                   |
| 25. 1/4 interest in Ameritas Life Ins. Co. whole<br>life policy #4                                                         | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 03/25/20                | J                               |                                |                                                                   |
| 26. 1/4 interest in MONY Life Ins. Co. (AXA)<br>whole life policy                                                          | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 03/30/20                | J                               |                                |                                                                   |
| 27. Real Estate Parcel #4, Potter County, PA                                                                               |                                        | None                                          | J                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. (H) Trust #3                                                                                                           |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 29. -Citizens & Northern Bank                                                                                              | A                                      | Interest                                      |                                                |                                           | Closed                                          | 02/07/20                | J                               |                                |                                                                   |
| 30. -SunTurst                                                                                                              | A                                      | Interest                                      |                                                |                                           | Closed                                          | 11/26/20                | J                               |                                |                                                                   |
| 31. -Charles Schwab, Schwab One Trust<br>Account                                                                           | A                                      | Interest                                      |                                                |                                           | Closed                                          | 11/03/20                | K                               |                                |                                                                   |
| 32. --U.S. Treasury Note #A42                                                                                              | A                                      | Interest                                      |                                                |                                           | Sold                                            | 05/05/20                | L                               | A                              |                                                                   |
| 33. --U.S. Treasury Note #N48                                                                                              | A                                      | Interest                                      |                                                |                                           | Sold                                            | 05/05/20                | M                               | A                              |                                                                   |
| 34. --U.S. Treasury Note #M98                                                                                              | B                                      | Interest                                      |                                                |                                           | Sold                                            | 05/05/20                | L                               | B                              |                                                                   |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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Name of Person Reporting

Baxter, Andrew T.

Date of Report

04/17/2021

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. --U.S. Treasury Note #WC0                                                                                              | B                                      | Interest                                      |                                                |                                           | Sold                                            | 05/05/20                | M                               | A                              |                                                                   |
| 36. --U.S. Treasury Note #XH8                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 06/30/20                | L                               |                                |                                                                   |
| 37. --U.S. Treasury Note #VV9                                                                                              | B                                      | Interest                                      |                                                |                                           | Matured                                         | 08/31/20                | L                               |                                |                                                                   |
| 38. --U.S. Treasury Note #VZO                                                                                              | B                                      | Interest                                      |                                                |                                           | Matured                                         | 09/30/20                | L                               |                                |                                                                   |
| 39. --U.S. Treasury Note #2J8                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 07/15/20                | L                               |                                |                                                                   |
| 40. --U.S. Treasury Bill #SV2                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 06/18/20                | L                               |                                |                                                                   |
| 41. --U.S. Treasury Bill #SM2                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 04/23/20                | L                               |                                |                                                                   |
| 42. --U.S. Treasury Bill #SH3                                                                                              | A                                      | Interest                                      |                                                |                                           | Matured                                         | 03/26/20                | L                               |                                |                                                                   |
| 43. --U.S. Treasury Bill #SD2                                                                                              | B                                      | Interest                                      |                                                |                                           | Matured                                         | 02/27/20                | L                               |                                |                                                                   |
| 44. --U.S. Treasury Bill #RT8                                                                                              | C                                      | Interest                                      |                                                |                                           | Matured                                         | 01/02/20                | L                               |                                |                                                                   |
| 45. --U.S. Treasury Bill #RY7                                                                                              | C                                      | Interest                                      |                                                |                                           | Matured                                         | 01/30/20                | L                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Baxter, Andrew T.        | 04/17/2021     |

## 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. All of the assets of the trust were distributed in cash in 2020 to family beneficiaries, one of whom was the reporting judge (a 1/4 beneficiary).

Asset #4: Reports Schwab One interest only, but reports year end balance for entire investment account.

Asset ##5-7: Reports earnings, year end balance, and/or disposition only for the particular investment asset listed.

Asset #12: Reports Schwab One interest only, but reports year end balance for entire investment account.

Asset ##13-17: Reports earnings, year end balance, and/or disposition only for the particular investment asset listed.

Asset #20: Income consists of royalty on natural gas storage lease from National Fuel Gas Supply Corp.

Asset #21: 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 ##22-26: Life insurance proceeds, with interest, were distributed in 2020 to reporting judge following the death of insured relative on 01/07/2020. Reporting judge had a 1/4 interest in each policy and reports the amount of earnings and distributions only to him.

Assets #31: Upon the death of the co-trustee of Trust #3, the Schwab investment account listed under the SSN of the co-trustee was closed on 3/19/2020 and the assets transferred to a new Schwab account under the EIN of the now-testamentary trust. The account of the testamentary trust was closed as of 11/3/2020 and all of the assets of the trust were distributed to the beneficiaries (in cash), including to the reporting judge, who was a 1/4 beneficiary. Only Schwab One interest is reported for Asset #31.

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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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544