

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 09/19/2016
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 08/1/2015 to 12/31/2015
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 of Trustees	Villa Maria Elementary School, Erie, PA
3. Board Member	Erie Arts and Culture, Erie, PA
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.)*

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. 2015

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.

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.)*

<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.		

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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 Checking/Money Market Accounts	A	Interest	N	T					
2. Navy Federal Credit Union Accounts	A	Interest	J	T					
3. PA Tuition Account 529 - Guaranteed Savings Plan		None	K	T					
4. [REDACTED] Erie County, PA	E	Rent	K	W					
5. [REDACTED] Erie County, PA	D	Rent	K	W					
6. U.S. Savings Bonds - Series EE Bonds	A	Interest	K	T					
7. UBS PMP ACCOUNTS:									
8. - ALPS Sprott Miners ETF (SGDM)	A	Dividend	J	T	Sold (part)	08/14/15	J		
9. - Alpha Natural Resources (ANR)		None	J	T	Sold (part)	08/13/15	J		
10. - Cameco (CAD)	A	Dividend	J	T	Sold (part)	08/14/15	J		
11. - Cash at UBS Financial		None	J	T					
12. - Centl Fund of CDA (CEF)	A	Dividend	J	T	Sold (part)	08/10/15	J		
13.					Sold (part)	09/14/15	J		
14. - Global X Silver (SIL)		None	L	T	Sold (part)	11/18/15	J		
15. - Global Uranium (URA)		None	J	T	Sold (part)	08/10/15	J		
16.					Sold (part)	08/13/15	J		
17. - Guggenheim 2015 Bond Fund (BSJF)	A	Dividend			Sold (part)	08/14/15	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,000,001 - \$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 \$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.					Sold (part)	09/14/15	J		
19.					Matured	12/31/15	J		
20. - Guggenheim 2017 Bond Fund (BSJH)	A	Dividend	J	T	Sold (part)	08/13/15	J		
21. - iShares Silver (SLV)		None	J	T	Sold (part)	08/10/15	J		
22.					Sold (part)	09/14/15	J		
23. - LMP Corporate Bond Fund (TLI)	A	Dividend	K	T	Sold (part)	11/24/15	J		
24. - Market Vectors JPMorgan Emerging Mkt (EMLC)	A	Dividend	J	T	Sold (part)	08/10/15	J		
25.					Sold (part)	08/13/15	J		
26. - Market Vectors Gold Miner ETF (GDX)	A	Dividend	J	T	Sold (part)	09/11/15	J		
27.					Sold (part)	09/14/15	J		
28. - Market Vectors Junior Miner ETF (GDXJ)	A	Dividend	K	T	Sold (part)	09/11/15	J		
29. - Silver Wheaton (SLW)	A	Dividend	K	T					
30. - Thornburg Income Builder (TIBIX)	A	Dividend	K	T	Buy	08/12/15	K		
31.					Buy (add'l)	09/10/15	J		
32. - T Rowe Price Balanced Fund (RPBAX)	B	Dividend	K	T	Buy	08/12/15	K		
33.					Buy	09/10/15	J		
34.					Buy	09/22/15	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.					Buy	09/23/15	J		
36. - UBS Bank USA Deposit Account		None	K	T					
37. - United States Gas LP (UNG)		None	J	T					
38. - Vanguard Short Term Fund (BSV)	A	Dividend	J	T	Sold (part)	08/13/15	J		
39. - Vanguard World Fund Extd Duration Treasury (EDV)	A	Dividend	J	T	Sold (part)	08/13/15	J	A	
40. - Wisdom Tree Bond Fund (ELD)	A	Dividend	J	T	Sold (part)	08/13/15	J		
41. Royal Inc. (RGDL) (Y)									
42. PNC RETIREMENT ACCOUNT									
43. - American Beacon Funds (AAIEX)	A	Dividend	J	T					
44. - Artisan International Fd (ARTIX)		None	J	T	Redeemed	08/26/15	J		
45. - Artisan International Fd (APDIX)	A	Dividend	J	T	Spinoff (from line 44)	08/26/15	J		
46. - Baird Aggregate Bond Fund (BAGIX)	B	Dividend	M	T					
47. - DB X-Trackers MSCI Japan (DBJP)	A	Dividend	J	T					
48. - Deutsche X-Trackers MSCI Eur (DBEU)	A	Dividend	K	T					
49. - Dodge & Cox Income Fund (DODIX)	C	Dividend	M	T					
50. - Dodge & Cox International Fund (DODFX)	A	Dividend	J	T					
51. - Eaton Vance Floating Rate (EIBLX)	A	Dividend	L	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Fidelity Money Market FD (FMPXX)	A	Dividend	J	T					
53. - Goldman Sachs Growth (GGOIX)	C	Dividend	K	T					
54. - Harding Loevner International (HLMIX)	A	Dividend	J	T					
55. - I Shares MSCI EAFE (SCZ)	A	Dividend	J	T					
56. - I Shares S&P Small Cap (IJS)	A	Dividend	J	T					
57. - Mainstay Epoch Global Equity (EPSYX)	B	Dividend	K	T					
58. - Metropolitan West Unconstrained Bond (MWCIX)	A	Dividend	L	T					
59. - MFS Value Fund (MEIIX)	D	Dividend	M	T					
60. - Templeton Global Bond Fund (TGBAX)	A	Dividend	L	T					
61. - Touchstone Sands Capital Select (CFSIX)	C	Dividend	L	T					
62. - T Rowe Price Growth Stock (PRGFX)	C	Dividend	L	T					
63. - T Rowe Price Mid Cap Value (TRMCX)	C	Dividend	K	T					
64. - T Rowe Price New Horizons (PRNHX)	B	Dividend	K	T					
65. - T Rowe Price Real Estate (TRREX)	A	Dividend	K	T					
66. - Vanguard FTSE Emerging (VWO)	A	Dividend	J	T					
67. - Vanguard Intermediate Term Bond (VFIDX)	A	Dividend	K	T	Buy (add'l)	11/25/15	K		
68. - Vanguard Total Stock Market (VTI)	B	Dividend	M	T					

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69.	Croatian Fraternal Union Whole Life Insurance Policy	A	Dividend	J	T				
70.	Crown Life Insurance Guaranteed Universal "W"	A	Interest	J	T				
71.	Crown Life Insurance Guaranteed Universal "H"	A	Interest	J	T				
72.									
73.									
74.									
75.									
76.									
77.									
78.									
79.									

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.)*

#1 When I filed the 7/30/15 nomination report, I expected to be confirmed before the May annual report was due. Although I have not yet been confirmed, this report should be compared to the nomination report and not to my prior annual filings.

#2 I have reorganized Part VII in alphabetical order within the separate accounts.

#3 On Part VII, Line 3 - I had not previously reported withdrawals from this 529 savings account by error. I list all transactions below:

10/12/2007 \$12,000 withdrawal
12/15/2008 \$15,000 withdrawal
09/22/2009 \$15,000 withdrawal
09/21/2010 \$6,452.28 withdrawal
09/21/2010 \$4,000 withdrawal
01/24/2011 \$10,000 withdrawal
01/24/2011 \$2,000 withdrawal
08/12/2011 \$5,500 withdrawal
08/08/2011 \$10,000 withdrawal
08/10/2011 \$4,000 withdrawal
12/14/2011 \$2,916 withdrawal
12/14/2011 \$2,000 withdrawal
07/31/2012 \$3,000 withdrawal
07/31/2012 \$6,493.00 withdrawal
12/12/2012 \$3,000 withdrawal
12/12/2012 \$5,738.00 withdrawal
07/25/2013 \$10,000 withdrawal
07/25/2013 \$2,000 withdrawal
01/21/2014 \$10,000 withdrawal
08/06/2014 \$12,164 withdrawal
08/06/2014 \$2,836 withdrawal
01/15/2015 \$2,000 withdrawal
01/15/2015 \$12,000 withdrawal

#4 Part VII, Line 11, There was always a small cash account with UBS Financial that held uninvested funds. This should have been included in the July 30, 2015 Nomination Report and it was omitted in error.

#5 Part VII, Line 12, Asset was reported on annual May 2015 Filing as "Central Fund of Canada". It was incorrectly omitted on July 30, 2015 Nomination Report.

#6 Part VII, Line 36, There was always an invested cash account with UBS that held dividends, interest and other cash reserves. This should have been included on July 30, 2015 Nomination Report and was omitted in error.

#7 Part VII, Line 41 - Royal Inc. (RGDL) had been liquidated prior to the nomination report of 7/30/2015 but was listed as currently held. I have placed a (Y) to account for this error.

#8 Part VII, Lines 57, 58, 62 and 65 of the 7/30/15 report listed incorrect Ticker Symbols. They were corrected in this report on the respective lines 61, 63, 64, and 50.

#9 Part VII, Lines 69, 70 & 71 - It was my understanding that the life insurance policies owned by my [REDACTED] and me were all term policies. I was mistaken and I have corrected that error.

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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