

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/12/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. District Court 17 South Park Row Room A280 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. Advisory Board Member	Evelyn Lincoln Institute for Ethics and Society of Mercyhurst University, Erie, PA
2. Board Member	Dramashop, Erie, PA
3. Board of Trustees, Secretary	Villa Maria Elementary School, Erie, PA
4. Board Member	Erie Arts and Culture
5. Co-Executor	Estate of Lincoln Baxter II, Husband's uncle

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. 2014

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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 Retirement Account (Spouse)	G	Int./Div.	O	T					
2. Navy Federal Credit Union	A	Interest	J	T					
3. Pennsylvania Tuition Account 529 Program - Guaranteed Savings Plan		None	L	T					
4. [REDACTED] Erie County, PA	A	Rent	K	W					
5. [REDACTED] Erie County, PA	A	Rent	K	W					
6. U.S. Savings Bonds	A	Interest	J	T					
7. UBS PMP Accounts									
8. - AT&T	A	Dividend	K	T	Sold	04/07/14	K	A	
9. - KBR Inc.	A	Dividend	K	T	Sold	10/20/14	K	A	
10. - Occidental Petroleum	A	Dividend	L	T	Sold	02/24/14	L	A	
11. - Peabody Energy	A	Dividend	L	T	Sold	02/03/14	L	A	
12. - Royal Gold	A	Dividend	J	T					
13. - Silver Wheaton	A	Dividend	J	T					
14. - Vale	A	Dividend	K	T	Sold	04/14/14	K	A	
15. - iShares EWW	A	Dividend	J	T	Sold	01/07/14	J	A	
16. - iShares KOL	A	Dividend	J	T	Sold	01/09/14	J	A	
17. - iShares OIH	A	Dividend	K	T	Sold	02/28/14	K	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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 I (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. - iShares GDXJ	B	Dividend	M	T					
19. - iShares DIA	A	Dividend	K	T	Sold	04/16/14	K	A	
20. - iShares BSJF	A	Interest	J	T			J		
21. - iShares BSJE	A	Interest	J	T	Redeemed	12/31/14	J		
22. - iShares BSJH	A	Interest	J	T					
23. - FUND TLI	C	Interest	K	T					
24. - Powershares BKLN	C	Interest	K	T	Sold	07/15/14	K	A	
25. - PUTNAM PIM	C	Interest	K	T	Sold	01/15/14	K	A	
26. - SPDR SJNK	B	Interest	K	T	Sold	01/15/14	K	A	
27. - VANGUARD BSV	C	Interest	L	T					
28. - WESTERN ASSET IGI	C	Interest	K	T	Sold	04/23/14	K	A	
29. - iShares ELD	B	Interest	K	T	Sold	01/24/14	K	A	
30. - Central Fund of Canada	A	None	J	T					
31. - iShares SLV	A	None	K	T					
32. - ETF USO	A	None	K	T					
33. - ETF UNG	A	None	J	T					
34. - iShares EWZ	A	Int./Div.	J	T	Sold	02/14/14	J	A	

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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35. - BLACKROCK BLW	A	Int./Div.	J	T	Sold	01/24/14	J	A	
36. - iShares EWW	A	Int./Div.	J	T	Sold	02/14/14	J	A	
37. - iShares EWZ	A	Int./Div.	J	T	Sold	02/14/14	J	A	
38. - Alpha Resources	A	Int./Div.	J	T	Buy	04/14/14	J		
39. - Global X Uranium	D	Int./Div.	J	T	Buy	11/10/14	J		
40. - LMP Corp Loan Fund	D	Int./Div.	J	T	Buy	06/17/14	J		
41. - Guggenheim Corp Bond	D	Int./Div.	J	T	Buy	01/07/14	J		
42. PNC Bank Checking/Money Market	A	Int./Div.	M	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 \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III B: The omission of [REDACTED] income was found on last year's annual report. I am unable to explain how I missed this omission when the report was given to me by my financial advisor for review prior to filing.

Part VII, Line 3: No control

Part VII, Line 42: These bank accounts were marked closed in last year's report by my financial advisor and I missed the error when I reviewed the report prior to filing. He misunderstood that these were our open checking and money market accounts, and instead believed them to be closed brokerage accounts with PNC Bank.

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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
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