

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/30/2018
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 01/01/2017 to 12/31/2017
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.)*

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. 2017	- Salary and 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. New York Intellectual Property Law Association	March 31 - April 2, 2017	New York City, NY	Dinner Honoring Federal Judiciary	Transportation, lodging (one night) and dinner
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.	The Greenleaf Corporation	Roundrip flight on corporate jet from Erie, PA to Teterboro, NJ	\$500.00
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.	PNC Bank, N. A.	Portfolio Line of Credit	L
2.	CitiBank	Charge Card	J
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	L	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. PNC WM ACCOUNTS: (H)									
8. - American Beacon Funds Int'l (AAIEX)	A	Dividend			Sold (part)	01/04/17	J	A	
9.					Sold	02/01/17	J	A	
10. - Artisan International Fd (APDIX)	A	Dividend	J	T					
11. - DB X-Trackers MSCI Japan ETF (DBJP)	A	Dividend	J	T					
12. - DB X-Trackers MSCI EUR ETF (DBEU)	A	Dividend	J	T					
13. - Harding Loevner International Equity (HLMIX)	A	Dividend	J	T					
14. - I Shares MSCI Emerging Markets ETF (EEM)	A	Dividend	J	T					
15. - I Shares Core S&P Mid-Cap ETF (IJH)	A	Dividend	K	T					
16. - I Shares Core S&P Small-Cap ETF (IJR)	A	Dividend	J	T					
17. - MFS Value Fund (MEIIX)	B	Dividend	K	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 \$5,000,000	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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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 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. - Mainstay Epoch Global Equity (EPSYX)	A	Dividend	J	T					
19. - Metropolitan West Unconstrained Bond Fd (MWCIX)	A	Dividend	J	T	Sold (part)	01/04/17	J	A	
20.					Buy (add'l)	03/03/17	J		
21. - T Rowe Price Growth Stock FD (PRGFX)	C	Dividend	K	T					
22. - T Rowe Price Summit Muni FD (PRINX)	B	Dividend	L	T	Buy (add'l)	03/03/17	J		
23.					Sold (part)	05/05/17	J		
24. - T Rowe Price Value Fd (TRVLX)	A	Dividend	K	T					
25. - T Rowe Price Floating Rate Fund (PFRFX)	A	Dividend	J	T	Sold (part)	01/04/17	J	A	
26. - T Rowe Price Real Estate Fund (TRREX)	A	Dividend	J	T					
27. - Templeton Global Bond Fund (TGBAX)	A	Dividend	J	T	Sold (part)	01/04/17	J	A	
28.					Buy (add'l)	03/03/17	J		
29. - Templeton International Equity Fund (TFEQX)	A	Dividend	J	T					
30. - Touchstone Sands Capital Select Growth Fund (CFSIX)					Sold	01/04/17	K		
31. - Vanguard Inter-Term Tax Exempt Fund (VWIUX)	B	Dividend	L	T	Buy (add'l)	01/05/17	K		
32.					Buy (add'l)	03/03/17	J		
33.					Sold (part)	05/05/17	J		
34.					Buy (add'l)	08/18/17	J		

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	
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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) 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)

35. - Fidelity Governmnet Money Market Fund (FMPXX)	A	Dividend	J	T					
36. - PNC Govt. Money Market #405	A	Dividend	J	T					
37. - Baird Aggregate Bond Fd #72 (BAGIX)	A	Dividend	J	T	Buy	05/05/17	J		
38.					Buy (add'l)	08/17/17	J		
39. - Dodge & Cox Income Fd #147 (DODIX)	A	Dividend	J	T	Buy	05/05/17	J		
40. - Vanguard Growth ETF (VUG)	A	Dividend	K	T	Buy	01/06/17	K		
41. - Vanguard International Value Fd #46 (VTRIX)	A	Dividend	J	T	Buy	01/05/17	J		
42. PNC RETIREMENT ACCOUNT (H)									
43. - Artisan International Funds (APDIX) formerly (ARTIX)	A	Dividend	K	T					
44. - Baird Aggregate Bond Fund (BAGIX)	D	Dividend	M	T					
45. - Deutsche X-Trackers MSCI Eur (DBEU)	A	Dividend	K	T					
46. - Dodge & Cox International Fund (DODFX)	A	Dividend	K	T					
47. - Fidelity Money Market FD (FMPXX)	A	Dividend	J	T					
48. - Harding Loevner International (HLMIX)	A	Dividend	K	T					
49. - I Shares MSCI EAFE Small Cap (SCZ)	A	Dividend	J	T					
50. - I Shares S&P Small Cap (IJS)	A	Dividend	K	T					
51. - Mainstay Epoch Global Equity (EPSYX)	B	Dividend	K	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	
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52. - Metropolitan West Unconstrained Bond (WMCIX)	A	Dividend	J	T					
53. - MFS Value Fund (MEIIX)	D	Dividend	M	T					
54. - Templeton Global Bond Fund (TGBAX)	A	Dividend	J	T					
55. - T Rowe Price Growth Stock (PRGFX)	D	Dividend	L	T					
56. - T Rowe Price Mid Cap Value (TRMCX)	C	Dividend	K	T					
57. - T Rowe Price New Horizons (PRNHX)	B	Dividend	K	T					
58. - T Rowe Price Real Estate (TRREX)	A	Dividend	K	T					
59. - Vanguard FTSE Emerging (VWO)	A	Dividend	K	T					
60. - Vanguard Intermediate Term Bond (VFIDX)	D	Dividend	M	T					
61. - Virtus (formerly Ridgeworth) SEIX Floating Rate Income Fd (SAMBX)	B	Dividend	K	T					
62. - Principal Mid Cap Fund (PCBIX)	B	Dividend	K	T					
63. - SPDR S&P 500 ETF Fund (SPY)	B	Dividend	M	T					
64. - Vanguard Total Bond Mkt Fund (VBTLX)	C	Dividend	M	T					
65. - Vanguard International Value Fund (VTRIX)	A	Dividend	K	T					
66. - Vanguard Growth ETF (VUG)	A	Dividend	L	T					
67. - I Share MSCI EAFE ETF (EFA)	A	Dividend	K	T					
68. Croatian Fraternal Union Whole Life Insurance Policy	A	Dividend	J	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
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69. Crown Life Insurance Guaranteed Universal "W"	A	Interest	J	T					
70. Crown Life Insurance Guaranteed Universal "H"	A	Interest	J	T					
71.									

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.)*

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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
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Washington, D.C. 20544