

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 Weslyern District of Pa	3. Date of Report 05/01/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Advisory Board Member	Evelyn Lincoln Institute for Ethics and Society of Mercyhurst College, Erie, Pa.
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 11/2011	SALE OF SINGLE FAMILY HOME	\$185,000.00
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. 2011	Salary and Bonus- Dermatology Associates of Erie
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.				

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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.		
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, Erie, Pa	A	Int./Div.	L	T					
2. ALLIANCE GROWTH FUND CLASS B	A	Dividend	J	T					
3. PNC BANK RETIREMENT ACCOUNT (SPOUSE)	G	Int./Div.	O	T					
4. MORGAN STANLEY IRA									
5. AIM EQUITY INC CHARTERED FUND	A	Dividend	J	T					
6. AMERICAN FUNDS WASHINGTON MUTUAL INVESTORS FUND	A	Dividend	K	T					
7. AMERICAN FUNDS NEW PERSPECTIVE FUND	A	Dividend	J	T					
8. AMERICAN SMALLCAP WORLD FUND	A	Dividend	J	T					
9. NAVY FEDERAL CREDIT UNION SAVING ACCOUNT	A	Dividend	J	T					
10. PNC BANK CD	A	Interest	J	T					
11. PENNSYLVANIA TUITION ACCOUNT PROGRAM		None	L	U					
12. MEDICAL OFFICE BUILDING ERIE, PA	A	Rent	K	W					
13. MEDICAL OFFICE BUILDING ANNEX ERIE, PA	A	Rent	K	W					
14. U.S. SAVINGS BONDS	A	Interest	J	T					
15. PNC BANK BROKERAGE ACCOUNT;									
16. JP MORGAN EMERGING MARKETS EQUITY FUND	A	Dividend	J	T	Buy	03/16/11	J		
17. T. ROWE PRICE MID CAP VALUE	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
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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18. FEDERATED KAUFMAN SMALL CAP FUND	A	Dividend	J	T					
19. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA	A	Dividend	K	T	Buy	05/11/11	J		
20. AMERICAN FUNDS GROWTH FUND	A	Dividend	J	T					
21. AMERICAN FUNDS EURO PACIFIC FUND	A	Dividend	J	T					
22. FRANKLIN SMALL CAP VALUE	A	Dividend	J	T					
23. EATON VANCE MULTI-CAP GROWTH	A	Dividend	J	T					
24. BLACKROCK INTERNATIONAL OPPORTUNITIES PORTFOLIO P	A	Dividend	J	T					
25. DEPENDENT ACCOUNTS; UBS FINANCIAL ERIE PA									
26. UBS FINANCIAL ERIE PA	A	Int./Div.	L	T		11/01/11	L		
27. UBS FINANCIAL ERIE PA	A	Int./Div.	L	T		11/01/11	L		
28. Single Family Home	A	None	M	T	Sold	03/01/11	M	D	
29. AllianceBernstein Growth Fund	A	Distribution			Sold	03/17/11	J	A	
30. AllianceBernstein Bond Fund	A	Distribution			Sold	03/18/11	J	A	
31. Oppenheimer Main Street Growth Fund	A	Distribution			Sold	03/17/11	J	A	
32. Oppenheimer Total return Fund	A	Distribution			Sold	03/17/11	J	A	
33. Van Kampen Equity and Income	A	Distribution			Sold	03/17/11	J	A	
34. Investment Company of America	A	Distribution			Sold	03/18/11	J	A	

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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. First Niagara Bank	B	Interest			Closed	11/02/11	K	A	
36. Citizens Bank	B	Interest			Closed	11/02/11	L	B	

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

In the July 11, 2012 letter from the Judicial Conference, it was indicated that the 2010 report listed a "single family home " as investment income. In fact, the 2011 report only lists this as an asset with income as "NONE". This property was purchased [REDACTED] by Judge Baxter and was never rented out/ no income ever produced. This asset was subsequently sold in 2011, which is detailed in Section III. This sale has also been listed in Section VII.

The July 11 letter references the "PA Tuition Assistance Program" and indicates the report does not list individual assets. This program does not purchase individual assets but purchases individual credits. As such, there are no holdings to report , only the value of the credits purchased.

3) The July 11 letter identifies certain assets acquired during 2011. The information required is now available in Section VII. There is no gain as these assets are still owned.

4) The July 11 letter identifies assets listed in the 2010 report which were initially omitted from the 2011 report. This has been rectified as these items are now included in Section VII.

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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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