

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/03/2017
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 01/01/2016 to 12/31/2016
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016 _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.	PNC Bank, N. A.	Portfolio Line of Credit	L
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	M	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. - ALPS Sprott Miners ETF (SGDM)		None			Sold	03/01/16	J		
9. - Alpha Natural Resources (ANR)		None			Sold	03/01/16	J		
10. - Cameco (CAD)	A	Dividend			Sold (part)	02/26/16	J		
11.					Sold	03/01/16	J		
12. - Cash at UBS Financial		None			Distributed	02/10/16	J		
13. - Centl Fund of CDA (CEF)		None			Sold	03/01/16	J		
14. - Global X Silver (SIL)		None			Sold (part)	02/26/16	K		
15.					Sold	03/01/16	K	A	
16. - Global Uranium (URA)		None			Sold	03/01/16	J		
17. - Guggenheim 2017 Bond Fund (BSJH)	A	Dividend			Sold	03/01/16	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 P3 = \$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 \$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. - iShares Silver (SLV)	A	Dividend			Sold	03/01/16	J		
19. - LMP Corporate Bond Fund aka Western Asset Corporate Ln Fd (TLI)	A	Dividend			Sold (part)	02/26/16	J		
20.					Sold	03/01/16	J		
21. - Market Vectors JP Morgan Emerging Mkt (EMLC)		None			Sold	03/01/16	J		
22. - Market Vectors Gold Miner ETF (GDX)		None			Sold	03/01/16	J		
23. - Market Vectors Junior Miner ETF (GDXJ)		None			Sold (part)	02/26/16	K		
24.					Sold	03/01/16	K		
25. - Silver Wheaton (SLW)		None			Sold (part)	02/26/16	K		
26.					Sold	03/01/16	K		
27. - Thornburg Income Builder (TIBIX)	A	Dividend			Sold	02/24/16	K		
28. - T Rowe Price Balanced Fund (RPBAX)		None			Sold	02/24/16	K		
29. - UBS Bank USA Deposit Account		None			Distributed	02/10/16	K		
30. - United States Gas LP (UNG)		None			Sold	03/01/16	J		
31. - Vanguard Short Term Fund (BSV)	A	Dividend			Sold	03/01/16	J		
32. - Vanguard World Fund Estd Duration Treasury (EDV)		None			Sold	03/01/16	J	A	
33. - Wisdom Tree Bond Fund (ELD)	A	Dividend			Sold	03/01/16	J		
34. - American Beacon Funds Int'l (AAIEX)		None	J	T	Buy	03/03/16	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. - Artisan International Fd (APDIX)	A	Dividend	J	T	Buy	03/03/16	J		
36. - DB X-Trackers MSCI Japan ETF (DBJP)	A	Dividend	J	T	Buy	03/03/16	J		
37.					Buy (add'l)	03/24/16	J		
38. - DB X-Trackers MSCI EUR ETF (DBEU)	A	Dividend	J	T	Buy	03/03/16	J		
39.					Buy (add'l)	03/24/16	J		
40. - Harding Loevner International Equity (HLMIX)	A	Dividend	J	T	Buy	03/03/16	J		
41. - 1 Shares MSCI Emerging Markets ETF (EEM)	A	Dividend	J	T	Buy	03/03/16	J		
42. - 1 Shares Core S&P Mid-Cap ETF (IJH)	A	Dividend	K	T	Buy	03/03/16	J		
43.					Buy (add'l)	05/13/16	J		
44. - 1 Shares Core S&P Small-Cap ETF (IJR)	A	Dividend	J	T	Buy	03/03/16	J		
45. - MFS Value Fund (MEIIX)	B	Dividend	K	T	Buy	03/03/16	K		
46. - Mainstay Epoch Global Equity (EPSYX)	A	Dividend	J	T	Buy	03/03/16	J		
47. - Metropolitan West Unconstrained Bond Fd (MWCIX)	A	Dividend	K	T	Buy	03/03/16	K		
48. - T Rowe Price Growth Stock FD (PRGFX)	A	Dividend	K	T	Buy	03/03/16	K		
49. - T Rowe Price Summit Muni FD (PRINX)	B	Dividend	L	T	Buy	03/03/16	L		
50. - T Rowe Price Value Fd (TRVLX)	A	Dividend	K	T	Buy	03/03/16	K		
51.					Buy (add'l)	05/13/16	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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52. - T Rowe Price Floating Rate Fund (PFRFX)	A	Dividend	K	T	Buy	03/03/16	K		
53. - T Rowe Price Real Estate Fund (TRREX)	A	Dividend	J	T	Buy	03/03/16	J		
54. - Templeton Global Bond Fund (TGBAX)	A	Dividend	K	T	Buy	03/03/16	K		
55. - Templeton International Equity Fund (TFEQX)	A	Dividend	J	T	Buy	03/03/16	J		
56. - Touchstone Sands Capital Select Growth Fund (CFSIX)	C	Dividend	K	T	Buy	03/03/16	K		
57. - Vanguard Inter-Term Tax Exempt Fund (VWIUX)	B	Dividend	L	T	Buy	03/03/16	L		
58. - Fidelity Government Money Market Fund (FMPXX)	A	Dividend	J	T	Buy	02/29/16	K		
59.					Sold (part)	03/31/16	K		
60. - Blackrock Liquidity Money Market (BTMXX)	A	Distribution			Buy	02/29/16	L		
61.					Sold	03/31/16	L		
62. - PNC Govt. Money Market #405	A	Dividend	J	T	Buy	06/30/16	J		
63. - Alliance High Income Fund (AGDYX) (X)	A	Dividend			Sold	02/24/16	J	C	
64. - Alliance Growth Fund (AGRYX) (X)		None			Sold	02/24/16	K	D	
65. PNC RETIREMENT ACCOUNT (H)									
66. - American Beacon Funds (AAIEX)		None			Sold	12/16/16	J		
67. - Artisan International Funds (ARTIX)	A	Dividend	J	T					
68. - Baird Aggregate Bond Fund (BAGIX)	D	Dividend	M	T					

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69. - DB X-Trackers MSCI Japan (DBJP)		None			Sold	06/16/16	J		
70. - Deutsche X-Trackers MSCI Eur (DBEU)	B	Dividend	K	T					
71. - Dodge & Cox Income Fund (DODIX)		None			Sold	02/24/16	M		
72. - Dodge & Cox International Fund (DODFX)	A	Dividend	J	T					
73. - Eaton Vance Floating Rate (EIBLX)	B	Dividend			Sold (part)	02/24/16	K		
74.					Sold (part)	08/16/16	K		
75.					Sold (part)	09/06/16	J	A	
76.					Sold	10/17/16	J		
77. - Fidelity Money Market FD (FMPXX)	A	Dividend	J	T					
78. - Goldman Sachs Growth (GGOIX)		None			Sold	03/31/16	K		
79. - Harding Loevner International (HLMIX)	A	Dividend	J	T					
80. - I Shares MSCI EAFE Small Cap (SCZ)	A	Dividend	J	T					
81. - I Shares S&P Small Cap (IJS)	A	Dividend	K	T					
82. - Mainstay Epoch Global Equity (EPSYX)	B	Dividend	K	T					
83. - Metropolitan West Unconstrained Bond (WMCIX)	A	Dividend	J	T	Sold (part)	02/24/16	K		
84.					Sold (part)	06/16/16	J		
85. - MFS Value Fund (MEIIX)	C	Dividend	M	T					

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86. - Templeton Global Bond Fund (TGBAX)	A	Dividend	J	T	Sold (part)	02/24/16	K		
87.					Sold (part)	06/16/16	J		
88. - Touchstone Sands Capital Select (CFSIX)		None			Sold	11/30/16	K	D	
89. - T Rowe Price Growth Stock (PRGFX)	B	Dividend	L	T					
90. - T Rowe Price Mid Cap Value (TRMCX)	C	Dividend	K	T					
91. - T Rowe Price New Horizons (PRNHX)	B	Dividend	K	T					
92. - T Rowe Price Real Estate (TRREX)	A	Dividend	K	T					
93. - Vanguard FTSE Emerging (VWO)	A	Dividend	J	T					
94. - Vanguard Intermediate Term Bond (VFIDX)	D	Dividend	M	T	Buy (add'l)	02/25/16	M		
95.					Buy (add'l)	06/17/16	K		
96.					Buy (add'l)	08/22/16	J		
97. - Vanguard Total Stock Market (VTI)		None			Sold	02/24/16	M	E	
98. - Ridgworth Floating Rate Income Fund (SAMBX)	A	Dividend	K	T	Buy	08/16/16	K		
99. - Principal Mid Cap Fund (PCBIX)	A	Dividend	K	T	Buy	03/31/16	K		
100. - SPDR S&P 500 ETF Fund (SPY)	B	Dividend	M	T	Buy	02/24/16	L		
101. - Vanguard Total Bond Mkt Fund (VBTLX)	C	Dividend	M	T	Buy	02/25/16	M		
102.					Buy (add'l)	08/22/16	J		

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103. - Vanguard International Value Fund (VTRIX)	A	Dividend	J	T	Buy	12/16/16	J		
104. - Vanguard Growth ETF (VUG)	A	Dividend	L	T	Buy	11/30/16	K		
105. - 1 Share MSCI EAFE ETF (EFA)	A	Dividend	K	T	Buy	06/16/16	J		
106.					Buy (add'l)	08/19/16	J		
107. Croatian Fraternal Union Whole Life Insurance Policy	A	Dividend	J	T					
108. Crown Life Insurance Guaranteed Universal "W"	A	Interest	J	T					
109. Crown Life Insurance Guaranteed Universal "H"	A	Interest	J	T					
110.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baxter, Susan P.

Date of Report

05/03/2017

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

1. In February 2016, I transferred accounts from UBS Financial to PNC Wealth Management. There are an extraordinary number of transactions this year due to the rebalancing of the investments.
2. Line 63 and 64, [REDACTED] account at UBS Financial. At transfer to PNC, we retitled the account into joint names with me. This is now being reported for the first time.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Baxter, Susan P.

Date of Report

05/03/2017

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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One Columbus Circle, N.E.
Washington, D.C. 20544