

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) Caldwell, William W.	2. Court or Organization U.S. District Court, Middle District of Pennsylvania	3. Date of Report 04/30/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	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 P. O. Box 11877 Harrisburg, PA 17108-1877		
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.		
2.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. monthly	Commonwealth of Pennsylvania - 2014 Retirement Income	\$19,368.60
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.	
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.)*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. Fulton Finacial Corp., stock	E	Dividend	N	T					
2. Intel Corp., stock	B	Dividend	K	T					
3. Carlisle Corp., stock	A	Dividend	K	T					
4. Johnson & Johnson, stock	A	Dividend	K	T					
5. Littelfuse, Inc., stock	A	Dividend	K	T					
6. Zimmer Holdings, Inc., stock	A	Dividend	K	T					
7. Shaler Area School District, bond	A	Interest	K	T					
8. Lower Merion School District, bond	B	Interest			Matured	09/01/14	L		
9. Seneca Vy. PA School District, bond	A	Interest	K	T					
10. Proctor & Gamble, stock	A	Dividend	J	T					
11. Quality Systems, Inc., stock	A	Dividend			Sold	11/12/14	J		
12. Covidien LTD, stock	A	Dividend	K	T					
13. Orrstown Financial Serv., stock		None			Sold	11/12/14	J		
14. Nazareth PA Area School District, bond	A	Interest			Matured	11/15/14	K		
15. Goldman Sachs International Equity Fund	B	Interest	M	T					
16. Goldman Sachs Emerging Markets Fund	A	Interest	K	T					
17. Goldman Sachs U.S. Equity, Div. Fund	B	Interest	M	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 = \$250,000.001 - \$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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☐ 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)

18. Goldman Sachs High Yield Fund	B	Interest	K	T					
19. Goldman Sachs High Yield Muni FUND	C	Interest	M	T					
20. PA State G.O..Bond	B	Interest	L	T					
21. Tuscon, AZ Hiway Bond	B	Interest	L	T					
22. North Penn School District	B	Interest	L	T					
23. Board of Regents - Texas System	B	Interest	L	T					
24. Lehigh Co PA Gen Pwp	A	Interest	K	T					
25. Bellwood-Antis PA School	B	Interest	K	T					
26. PA State First Sen A	A	Interest	J	T					
27. PA Public School Building Authority	B	Interest	K	T					
28. Spring Grove PA Area School District	A	Interest	J	T					
29. Erie PA RF-OID-AGM	B	Interest	K	T					
30. Berks Co. PA RF-OID-AGM	B	Interest	K	T					
31. Hamburg Area School District	B	Interest	K	T					
32. PA State Higher EFA	A	Interest	J	T					
33. Allegheny Co. PA Ser.	B	Interest	K	T					
34. King Co. Wash. Libr. Dist.	B	Interest	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Blackrock Muni Trust	C	Interest	K	T					
36. Mohawk Area School Dist.	B	Interest	L	T					
37. New York NY G.O.	B	Interest	L	T					
38. Wilson, PA School District	C	Interest	L	T					
39. Central Dauphin PA Sch. Dist.	B	Interest	K	T	Buy	01/28/14	K		
40. Penn Hghr Edut Assistance	B	Interest	K	T	Buy	09/03/14	K		
41. Penn St for Futua	B	Interest	K	T	Buy	09/05/14	K		
42. Phil PA G.O. Bond	B	Interest	K	T	Buy	01/30/14	K		
43. State College PA Sch Dist	A	Interest	K	T	Buy	11/19/14	K		
44. GS Strategic Inc. Fund	B	Interest	L	T	Buy	01/22/14	L		

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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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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/ William W. Caldwell**

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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