

**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) Caldwell, William W.	2. Court or Organization U.S. District Court, Middle District of Pennsylvania	3. Date of Report 04/30/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address P.O. Box 11877 Harrisburg, PA 17108-1877		
IMPORTANT NOTES: <i>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>		

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

☒ **NONE** *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
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. monthly	Commonwealth of Pennsylvania - 2011 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 Financial Corp., stock	E	Dividend	N	T					
2. Intel Corp., stock	B	Dividend	K	T					
3. Morgan Stanley Smith-Barney Bond Fund	D	Interest			Sold	08/16/11	M		
4. Harsco Corp., stock	A	Dividend	J	T					
5. Carlisle Corp., stock	A	Dividend	J	T					
6. Hewlett-Packard, stock	A	Dividend	J	T	Sold (part)	12/09/11	J		
7. Johnson & Johnson, stock	A	Dividend	K	T					
8. Littelfuse, Inc., stock		None	J	T					
9. Zimmer Holdings, Inc., stock		None	J	T					
10. Blairsville-Saltzburg School District, bond	A	Interest			Matured	05/31/11	J		
11. Eastern York School District, bond	A	Interest	J	T					
12. Hanover Public School District, bond	A	Interest	J	T					
13. Fox Chapel Area School District, bond	A	Interest	K	T					
14. Shaler Area School District, bond	A	Interest	K	T					
15. Hanover Area School District, bond	A	Interest	K	T					
16. Muhlenberg School District, bond	A	Interest	K	T					
17. Unionville-Chadds Ford School District, bond	A	Interest	K	T					

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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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				
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18. Blackhawk Penn School District, bond	A	Interest			Matured	07/01/11	K		
19. Lower Merion School District, bond	B	Interest	L	T					
20. Seneca VL, PA School District, bond	A	Interest	K	T					
21. Proctor & Gamble, stock	A	Dividend	K	T					
22. Quality Systems, Inc., stock		None	J	T					
23. Covidien LTD, stock	A	Dividend	J	T					
24. Orrstown Financial Serv., stock	A	Dividend	J	T					
25. Nazareth PA Area School District, bond	A	Interest	K	T					
26. Fleetwood Area School District, bond	A	Interest	K	T					
27. Goldman Sachs International Equity Fund	B	Interest	M	T					
28. Goldman Sachs Emerging Markets Fund	A	Interest	K	T					
29. Goldman Sachs U.S. Equity, Div. Fund	B	Interest	K	T					
30. Goldman Sachs High Yield Fund	B	Interest	K	T					
31. Goldman Sachs High Yield Muni Fund	C	Interest	M	T					
32. Emerging Markets Currency Note		None			Sold	05/27/11	K		
33. PA State G.O. Bond	B	Interest	L	T					
34. Michigan Bond Auth.	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. Tucson, AZ Hiway Bond	B	Interest	L	T					
36. Dupont Company	A	Dividend	J	T	Buy	06/17/11	J		
37. North Penn School District	A	Interest	L	T	Buy	11/23/11	L		
38. Board of Regents - Texas System	B	Interest	L	T	Buy	06/16/11	L		
39. Allegheny Co. PA IDA	A	Interest	J	T	Buy	08/16/11	J		
40. Lehigh Co. PA Gen Pwp	A	Interest	J	T	Buy	08/16/11	J		
41. Bellwood-Antis PA School	A	Interest	K	T	Buy	08/16/11	K		
42. PA State First Sen A	A	Interest	J	T	Buy	08/16/11	J		
43. PA Public School Building Authority	A	Interest	J	T	Buy	08/16/11	J		
44. Spring Garden PA Area School District	A	Interest	J	T	Buy	08/16/11	J		
45. Erie PA RF-OLD-AGM	A	Interest	J	T	Buy	08/16/11	J		
46. Berks Co. PA RF-OLD-AGM	A	Interest	J	T	Buy	08/16/11	J		
47. Hamburg Area School District	A	Interest	K	T	Buy	08/16/11	K		
48. Southern Lehigh PA School District	A	Interest	J	T	Buy	08/16/11	J		
49. PA State Higher EFA	A	Interest	J	T	Buy	08/16/11	J		
50. Allegheny Co. PA Sen.	B	Interest	K	T	Buy	08/16/11	K		

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

Holdings listen herein on lines 39-50 of Section VII replace the bond fund indicated on line 3 of 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/ 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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