

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Caputo, A. Richard	2. Court or Organization U.S. Dist. Ct. M.D. of PA	3. Date of Report 05/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 197 South Main Street Wilkes-Barre, PA 18701		
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.	Co-Executor	Estate #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.)*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. _____

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.		
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. IRA #1	B	Int./Div.	M	T					
2. -Alphabet Inc - CL C fka Google Inc.					Buy	09/30/15	J		
3. -Chevron Corp. - Common Stk									
4. -Crimson Wine Group - Common Stk									
5. -Frontier Communications Corp. - Common Stk									
6. -Leucadia National Corp. - Common Stk					Sold (part)	09/30/15	J	C	
7. -Leucadia National Corp. - Common Stk					Sold	12/22/15	J	B	
8. -LPL Insured Cash Account									
9. -PPL Corp. - Common Stk									
10. -Talen Energy Corp					Spinoff (from line 9)	06/01/15	J		
11. -Talen Energy Corp					Sold	09/30/15	J	A	
12. -Verizon Communications, Inc. - Common Stk									
13. -Whole Foods Market, Inc. - Common Stk									
14. -Goldman Sachs Bank, 0.50% Cert of Dep, Due 03/28/16									
15. Ally Bank, .65% Certificate of Dep, Due 01/26/15	A	Interest			Redeemed	01/26/15	L		
16. Discover Bank, 0.75% Cert of Dep, Due 08/01/16	A	Interest	M	T					
17. Goldman Sachs Bank, 1.050% Certificate of Dep, Due 8/11/17	A	Interest	L	T	Buy	02/06/15	M		

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	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 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. LPL Financial Insured Cash Account	A	Interest	J	T					
19. Luzerne Bank Account		None	L	T					
20. Wells Fargo Bank - Insured Cash Acct	A	Interest	L	T					
21. Wells Fargo Bank - Savings Account	A	Interest	K	T					
22. IRA #2	A	Int./Div.	J	T					
23. -LPL Financial Insured Cash Account									
24. - Whole Food Market, Inc. - Common Stock					Sold (part)	03/19/15	J	A	
25. AT&T Inc - Common Stock (formerly Direct TV Group, Inc.)	A	Dividend	J	T	Sold (part)	07/27/15	J	A	
26. Bard C R Inc.- Common Stock	A	Dividend	J	T	Sold (part)	09/30/15	J	C	
27. Chevron Corp- Common Stock	A	Dividend	J	T					
28. Coach Inc. - Common Stock	A	Dividend	J	T					
29. Conocophillips- Common Stock	A	Dividend	J	T	Buy (add'l)	09/30/15	J		
30. Coming Inc.- Common Stock	A	Dividend	J	T					
31. Direct TV Group, Inc. - Common Stock		None			Sold (part)	07/27/15	J	B	
32. Direct TV Group, Inc. - Common Stock		None			Merged (with line 25)	07/27/15	J		
33. Dow Chemical Company- Common Stock	A	Dividend	J	T					
34. EMC Corp- Common Stock	A	Dividend	J	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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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. Gilead Sciences Inc - Common Stock	A	Dividend	J	T	Buy	09/30/15	J		
36. Johnson & Johnson- Common Stock	A	Dividend	J	T					
37. Merck & Company Inc- Common Stock	A	Dividend	J	T					
38. Microsoft Corp- Common Stock	A	Dividend	J	T					
39. News Corp New- Common Stock	A	Dividend			Sold	09/30/15	J	A	
40. Noble Corp- Common Stock	A	Dividend			Sold	09/30/15	J	A	
41. Nuance Communication Inc- Common Stock		None			Sold	09/30/15	J	A	
42. Plum Creek Timber Company Inc.- Common Stock	A	Distribution	J	T					
43. PPL Corp.- Common Stock	A	Dividend	J	T					
44. Talen Energy Corp - Common Stock		None			Spinoff (from line 43)	06/01/15	J		
45. Talen Energy Corp - Common Stock		None			Sold	09/30/15	J	A	
46. Twenty First Century Fox- Common Stock	A	Dividend			Sold	09/30/15	J	A	
47. Verizon Communications- Common Stock	A	Dividend	J	T	Buy (add'l)	09/30/15	J		
48. Waste Management Inc.- Common Stock	A	Dividend	J	T					
49. Ally Bank, .8%, Certificate of Dep, Due 07/24/15	B	Interest			Redeemed	07/24/15	M		
50. American Express Bank, 0.900% Due 01/30/17		None	M	T	Buy	07/27/15	M		
51. Discover Bank Greenwood, 1.2%, Certificate of Dep, Due 07/31/17	B	Interest	M	T					

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	(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)
52. Goldman Sachs Bank USA, .7%, Certificate of Dep, Due 09/26/16	B	Interest	M	T					
53. Sallie Mae Bank, 2%, Certificate of Dep, Due 12/10/18	B	Interest	M	T					
54. LPL Financial Insured Cash Account	A	Interest	L	T					
55. 10 acres vacant land Orange County, Florida (Appraisal Date 8/18/2014)		None	N	Q					
56. Estate #1 - 16 acres vacant land, Slocum Twp, Luzerne Cty, PA		None	K	W					
57.									

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

Part VII - Line 8 - LPL Financial Insured Cash Account - Bank account(s) maintained by LPL Financial which are made up of deposits at various FDIC banks. Cash in the insured cash account is transferred to various banks throughout the year at the discretion of LPL Financial. LPL Financial does not provide information to the filer with respect to the dates that the interbank transfers occur. Therefore, the filer is precluded from indicating the open and close dates of the underlying bank accounts where the cash has been invested. The Filer cannot direct, influence or in any other manner control the transfer of the cash from one financial institution to another.

Part VII - Line 18 - LPL Financial Insured Cash Account - Bank account(s) maintained by LPL Financial which are made up of deposits at various FDIC banks. Cash in the insured cash account is transferred to various banks throughout the year at the discretion of LPL Financial. LPL Financial does not provide information to the filer with respect to the dates that the interbank transfers occur. Therefore, the filer is precluded from indicating the open and close dates of the underlying bank accounts where the cash has been invested. The Filer cannot direct, influence or in any other manner control the transfer of the cash from one financial institution to another.

Part VII - Line 23 - LPL Financial Insured Cash Account - Bank account(s) maintained by LPL Financial which are made up of deposits at various FDIC banks. Cash in the insured cash account is transferred to various banks throughout the year at the discretion of LPL Financial. LPL Financial does not provide information to the filer with respect to the dates that the interbank transfers occur. Therefore, the filer is precluded from indicating the open and close dates of the underlying bank accounts where the cash has been invested. The Filer cannot direct, influence or in any other manner control the transfer of the cash from one financial institution to another.

Part VII - Line 54 - LPL Financial Insured Cash Account - Bank account(s) maintained by LPL Financial which are made up of deposits at various FDIC banks. Cash in the insured cash account is transferred to various banks throughout the year at the discretion of LPL Financial. LPL Financial does not provide information to the filer with respect to the dates that the interbank transfers occur. Therefore, the filer is precluded from indicating the open and close dates of the underlying bank accounts where the cash has been invested. The Filer cannot direct, influence or in any other manner control the transfer of the cash from one financial institution to another.

Part VII - Line 55 - Orange County, Florida property - Information reported, as in prior years, represents 100% of the value. However, the reporting person's spouse is one of three individuals who own the property in equal shares. An appraisal was performed on August 18, 2014, which indicated that the value of the property was \$280,000.

Part VII - Line 56 - This is property in Estate #1.

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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/ A. Richard Caputo**

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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Washington, D.C. 20544