

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) Caputo, A. Richard	2. Court or Organization U.S. Dist. Ct. M.D. of PA	3. Date of Report 08/29/2017
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 01/01/2016 to 12/31/2016
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 (H)									
2. -Alphabet Inc - CL C fka Google Inc.		None	J	T					
3. -Chevron Corp. - Common Stk	A	Dividend	J	T					
4. -Crimson Wine Group - Common Stk		None	J	T					
5. -Frontier Communications Corp. - Common Stk	A	Dividend	J	T					
6. -LPL Insured Cash Account	A	Int./Div.	J	T					
7. -PPL Corp. - Common Stk	A	Dividend	J	T					
8. -Verizon Communications, Inc. - Common Stk	A	Dividend	J	T					
9. -Weyerhaeuser Company - Common Stk	A	Dividend	J	T	Buy	02/05/16	J		
10. -Whole Foods Market, Inc. - Common Stk	A	Dividend	K	T					
11. -Goldman Sachs Bank, 0.50% Cert of Dep, Due 03/28/16	A	Interest			Redeemed	03/28/16	L		
12. -Goldman Sachs Bank, .600%, Certificate of Dep., Due 3/30/17		None	L	T	Buy	03/23/16	L		
13. Discover Bank, 0.75% Cert of Dep, Due 08/01/16	A	Interest			Redeemed	08/01/16	L		
14. Goldman Sachs Bank, 1.050% Certificate of Dep, Due 8/11/17	B	Interest	M	T					
15. Capital One, N.A., 1.150% Certificate of Dep, Due 10/05/18		None	L	T	Buy	10/03/16	M		
16. LPL Financial Insured Cash Account	A	Interest	J	T					
17. Luzerne Bank Account		None	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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. Wells Fargo Bank - Insured Cash Acct	A	Interest	K	T					
19. Wells Fargo Bank - Savings Account	A	Interest	K	T					
20. IRA #2 (H)									
21. -LPL Financial Insured Cash Account		None	J	T					
22. - Whole Food Market, Inc. - Common Stock	A	Dividend	J	T	Sold (part)	03/21/16	J	A	
23. AT&T Inc - Common Stock (formerly Direct TV Group, Inc.)	A	Dividend	J	T					
24. Bard C R Inc.- Common Stock	A	Dividend	J	T					
25. Chevron Corp- Common Stock	A	Dividend	J	T					
26. Coach Inc. - Common Stock	A	Dividend			Sold	03/21/16	J	A	
27. Conocophillips- Common Stock	A	Dividend	J	T					
28. Corning Inc.- Common Stock	A	Dividend	J	T					
29. Dell Technologies, Inc - Common Stock		None	J	T	Sold (part)	09/07/16	J	A	
30. Dow Chemical Company- Common Stock	A	Dividend	J	T					
31. EMC Corp- Common Stock	A	Dividend			Sold	09/07/16	J	A	
32. Gilead Sciences Inc - Common Stock	A	Dividend	J	T					
33. Johnson & Johnson- Common Stock	A	Dividend	J	T					
34. Merck & Company Inc- 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	
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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35. Microsoft Corp- Common Stock	A	Dividend	J	T					
36. PPL Corp.- Common Stock	A	Dividend	J	T					
37. Verizon Communications- Common Stock	A	Dividend	J	T					
38. Waste Management Inc.- Common Stock	A	Dividend	J	T					
39. Weyerhaeuser Company - Common Stk (Formerly Plum Creek Timber Co, Inc)	A	Dividend	J	T	Sold (part)	02/22/16	J	A	
40. American Express Bank, 0.900%, Certificate of Deposit, Due 01/30/17	B	Interest	M	T					
41. Capital One N.A., 1.300%, Certificate of Deposit, Due 10/7/19		None	M	T	Buy	10/03/16	M		
42. Discover Bank Greenwood, 1.2%, Certificate of Dep, Due 07/31/17	B	Interest	M	T					
43. Goldman Sachs Bank USA, .7%, Certificate of Dep, Due 09/26/16	B	Interest			Redeemed	09/29/16	M		
44. Sallie Mae Bank, 2%, Certificate of Dep, Due 12/10/18	C	Interest	M	T					
45. LPL Financial Insured Cash Account	A	Interest	L	T					
46. 10 acres vacant land Orange County, Florida (Appraisal Date 8/18/2014)		None	N	Q					
47. Estate #1 - 16 acres vacant land, Slocum Twp, Luzerne Cty,PA		None	K	W					
48. Plum Creek Timber Co, Inc.- Common Stock		None			Merged (with line 39)	02/19/16	J		

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

Part VII - Line 6 - 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 16 - 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 21 - 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 45 - 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 46 - 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 47 - 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544