

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) Caputo, A. Richard	2. Court or Organization U.S. Dist. Ct. M.D. of PA	3. Date of Report 05/08/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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-Trustee	Trust
2.	Co-Executor	Estate # 1
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.)

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. ☐ Trust	D	Int./Div.	N	T					
2. - Bard C.R. Incorporated - Common Stk									
3. - Bank Whitman Colfax, WA, 3.00% Cert of Dep, due 03/12/12					Redeemed	08/10/11	L		
4. - Carnival Corp Paired CTF common stock									
5. - Chevron Corp. - Common Stk									
6. - ConocoPhillips - Common Stk									
7. - Corning, Inc. - Common Stock									
8. - Dow Chemical Co. - Common Stk									
9. - Intel Corp - Common Stock									
10. - Johnson & Johnson - Common Stk									
11. - LPL Insured Cash Account									
12. - Merck & Company, Inc. - Common Stock									
13. - Microsoft Corp. - Common Stk									
14. - Noble Corp - Common Stock									
15. - PPL Corp - Common Stock									
16. - Veolia Enviroment Spon ADR - Common Stock									
17. - Waste Management, Inc. - Common Stock									

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	L = \$50,001 - \$100,000 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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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 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. - Western Digital Corp - Common Stock									
19. IRA #1	C	Int./Div.	M	T					
20. - Am. Exp. Centurion Bank, 1.75% Cert of Dep, due 09/16/11					Redeemed	09/16/11	K		
21. - Bank Whitman, 3.00% Certificate of Deposit, due 03/12/12					Redeemed	08/10/11	L		
22. - Chevron Corp. - Common Stock									
23. - Frontier Communications Corp. - Common Stock									
24. - Leucadia National Corp. - Common Stock									
25. - LPL Insured Cash Account									
26. - McDonalds Corp. - Common Stock									
27. - PPL Corp. - Common Stock									
28. - Verizon Communications, Inc. - Common Stock									
29. - Whole Foods Market Inc. - Common Stock									
30. - Am. Exp. Centurion Bank, 1.15% Cert of Dep, due 12/09/13					Buy	11/30/11	M		
31. Ally Bank, 2.00% Certificate of Deposit, due 05/14/13	A	Interest	K	T					
32. Branch Banking & Trust Co., 3.00% Cert of Dep, due 03/12/12	B	Interest	K	T					
33. Goldman Sachs Bank USA, 3.05% Cert of Dep, due 02/13/12	B	Interest	K	T					
34. LPL Financial Insured Cash Account	A	Interest	J	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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☐ 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)

35. East West Bank, 0.45% Certificate of Deposit, due 02/23/12	A	Interest	L	T	Buy	02/15/11	L		
36. Luzerne Bank Accounts		None	J	T					
37. Wells Fargo Bank - Insured Cash Acct (formerly Wachovia Bk)		None	J	T					
38. Wachovia Bank - Money Market Account	A	Interest			Closed	01/18/11	L		
39. Wells Fargo Bank - Savings Account	A	Interest	K	T	Open	01/18/11	L		
40. IRA #2	A	Dividend	J	T					
41. - Whole Foods Market Inc. - Common Stk									
42. - LPL Financial Insured Cash Account									
43. Direct TV Group Inc. - Common Stk		None	J	T					
44. NEWS Corp. Cl A - Common Stk	A	Dividend	J	T					
45. Ally Bank, 2.05% Certificate of Deposit, due 05/07/13	C	Interest	M	T					
46. Am. Express Centurion Bank, 1.75% Cert of Dep, due 09/16/11	B	Interest			Redeemed	09/16/11	L		
47. Citi Bank, 3.8% Cert of Deposit, due 05/14/12	B	Interest	L	T					
48. Goldman Sachs Bank USA, 3.05% Cert of Deposit, due 02/13/12	C	Interest	L	T					
49. Keybank NA, 2.40% Certificate of Deposit, due 11/14/11	B	Interest			Redeemed	11/14/11	L		
50. LPL Financial Insured Cash Account	A	Interest	K	T					
51. MBank, 1.60% Certificate of Deposit due 1/28/11	A	Interest			Redeemed	01/28/11	L		

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
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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)
52. Sallie Mae Bank, 2.35% Certificate of Deposit, due 05/06/11	A	Interest			Redeemed	05/06/11	L		
53. East West Bank, 0.45% Certificate of Deposit, due 02/23/12	A	Interest	M	T	Buy	02/15/11	M		
54. Am. Exp. Centurion Bank, 1.15% Cert of Dep, due 12/09/13		None	M	T	Buy	11/30/11	M		
55. ☐ acres vacant land - Orange County, Florida		None	M	W					
56. Estate #1- ☐ acres vacant land, Slocum Twp Luzerne Cty - PA		None	K	W					

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

Part VII - Line 1 - Trust - Information reported, as in prior years, represents 100% of the trust assets. However, the reporting person's is one of three beneficiaries who share equally in the trust.

Part VII - Line 11 - 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 25 - 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 34 - 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 42 - 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 50 - 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 is one of three individuals who own the property in equal shares.

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

SEE ACCOUNTANTS' COMPILATION REPORT

ACCOUNTANTS' COMPILATION REPORT

The Honorable A. Richard Caputo
United States District Court
Scranton, Pennsylvania:

We have compiled the financial disclosure report of the Honorable A. Richard Caputo for the year ended December 31, 2011, included in the accompanying prescribed form in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. We have also compiled the additional information presented in the financial disclosure report.

Our compilation was limited to presenting in the form prescribed by The Committee on Financial Disclosure, Administrative Office of the United States Courts information that is the representation of the individual whose financial disclosure report is presented. We have not audited or reviewed the financial disclosure report and the additional information referred to above and, accordingly, do not express an opinion or any other form of assurance on it.

The financial disclosure report and the additional information are presented in accordance with the requirements of The Committee on Financial Disclosure, Administrative Office of the United States Courts, which differ from generally accepted accounting principles. Accordingly, this financial disclosure report is not designed for those who are not informed about such differences.

Except as prescribed by the requirements of The Committee on Financial Disclosure, Administrative Office of the United States Courts, this financial disclosure report is intended to present the assets of The Honorable A. Richard Caputo at estimated current values and liabilities at estimated current amounts.

The report is intended solely for the information and use of the Honorable A. Richard Caputo and The Committee on Financial Disclosure, Administrative Office of the United States Courts, and is not intended to be, and should not be, used by anyone other than these specified parties.



Wilkes-Barre, Pennsylvania
May 8, 2012