

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2004

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Caputo, A. Richard	2. Court or Organization U.S. Dist. Ct. M.D. of PA	3. Date of Report 5/1/2005
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2004 to 12/31/2004
7. Chambers or Office Address 235 North Washington Avenue P.O. Box 1246 Scranton, PA 18501	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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

☐ NONE - (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Co-Trustee

Trust

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

RECEIVED
MAY 10 12 45 PM '05
FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

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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 TYPEGROSS INCOME

(yours, not spouse's)

1. _____

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. Dollar amount not required except for honoraria.)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1. _____

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1. _____

FINANCIAL DISCLOSURE REPORT

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

FINANCIAL DISCLOSURE REPORT

Page 1 of 5

Name of Person Reporting
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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A -H)	Type (e.g. div. rent or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. [REDACTED] Trust	C	Div. & Int.	M	T					
2. - Allergan Inc. - Common Stk									
3. - Citigroup Inc. - Common Stk									
4. - Carnival Corp. k/n/a Carnival CP New Paired - Common Stk					Partial Sale	3/24	J	C	
5. - Cendant Corp. - Common Stk					Buy	7/13	J		
6. - Cendant Corp. - Common Stk					Buy	8/17	J		
7. - Chico's FAS Inc. - Common Stk									
8. - Cooper COS Inc. - Common Stk					Buy	8/17	J		
9. - Conoco Phillips - Common Stk					Buy	3/24	J		
10. - Cisco Sys. Inc. - Common Stk									
11. - Chevron n/k/a Chevron Texaco Corp. - Common Stk					Partial Sale	12/2	J	C	
12. - Dominion Res. Inc. VA NEW - Common Stk									
13. - Dow Chemical Co. - Common Stk									
14. - General Electric Company - Common Stk									
15. - Harley Davidson Inc. - Common Stk									
16. - Ingersoll Rand Company Limited Class A - Common Stk					Buy	3/24	J		
17. - Johnson & Johnson - Common Stk									
18. - Altria Group Inc. - Common Stk									

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 = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
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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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Page 2 of 5

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19. - Microsoft Corp. - Common Stk									
20. - SCP Pool Corp. - Common Stk					Buy	8/17	J		
21. - Symantec Corp. - Common Stk					Buy	12/21	J		
22. - Constellation Brands Inc. Class A - Common Stk					Sold	8/17	J	B	
23. - LPL Premier Money Market Shares					Buy	Var.	J		
24. - WYETH - Common Stk					Sold	3/24	J	D	
25. IRA #1	C	Div. & Int.	M	T					
26. - Allergan Inc. - Common Stk									
27. - Bristol Myers Squibb Co. - Common Stk									
28. - Citigroup Inc. - Common Stk									
29. - Cendant Corp. - Common Stk					Buy	4/1	J		
30. - Cendant Corp. - Common Stk					Buy	6/18	J		
31. - Cendant Corp. - Common Stk					Buy	7/9	J		
32. - Chico's FAS Inc. - Common Stk									
33. - Cooper COS Inc. NEW - Common Stk					Buy	6/18	J		
34. - Carlisle Companies Inc. - Common Stk									
35. - Dupont E.I. De Nemour & Company - Common Stk					Buy	12/15	J		
36. - Dell Inc. - Common Stk									

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FINANCIAL DISCLOSURE REPORT

Page 3 of 5

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37. - Harley Davidson Inc. - Common Stk									
38. - Ishares Tr NASDAQ Biotech Index Fund					Buy	4/1	J		
39. - JDS Uniphase Corp. - Common Stk									
40. - Lucent Technologies Inc. - Common Stk									
41. - Leucadia National Corp. - Common Stk									
42. - Microsoft Corp. - Common Stk									
43. - Precision Castparts Corp. - Common Stk									
44. - Pfizer Incorporated - Common Stk									
45. - Sirius Satellite Radio Ind. - Common Stk					Buy	11/22	J		
46. - Symantec Corp. - Common Stk					Buy	12/15	J		
47. - Whole Foods Market Inc. - Common Stk									
48. - Conoco Phillips - Common Stk					Sold	12/2	J	D	
49. - Cooper COS Inc. NEW - Common Stk					Sold	10/6	J	B	
50. - Verizon Communications Inc. - Common Stk					Sold	7/9	J	B	
51. - Bank of America Corp. (Fleetboston Financial)- Common Stk					Sold	6/18	J	B	
52. - Honeywell Intl Inc. - Common Stk					Sold	6/18	J	A	
53. - LPL Premier Money Market Shares									
54. - MCI Worldcom - Common Stk					Bankruptcy	12/16	J	A	

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Page 4 of 5

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55. - Dial Corp. NEW - Common Stk					Merger	3/30	J	B	
56. Wachovia Corp. Common Stock	D	Dividend	M	T					
57. Eastern Penn PA S. D. Bond	B	Interest	L	T					
58. Great Valley S. D. PA Bond	B	Interest	K	T					
59. Pennsylvania State HEFA Hlt Svcs Bond	B	Interest	K	T					
60. PA State B/E Turnpike Comm. Bond	A	Interest	K	T	Buy	6/3			
61. Warwick School District Municipal Bond	B	Interest	L	T	Redeem	7/1	L	A	
62. LPL Premier Money Market Shares	A	Interest	K	T					
63. Pfizer Inc. Common Stock	A	Dividend	J	T					
64. IRA #2	A	Div. & Int.	J	T					
65. - LPL Premier Money Market Shares									
66. - Standard & Poors Dep Rcpts B/E					Buy	2/10	J		
67. Direct TV Group Inc. (formerly Hughes Elect.) - Common Stk	A	Dividend	J	T					
68. News Corp. Class A - Common Stk	A	Dividend	J	T					
69. LPL Premier Money Market Shares	B	Dividend	L	T					
70. Amcore Bank N.A. Certificate of Deposit	A	Interest	L	T	Buy	6/15	L		
71. Capital Crossing Bank Certificate of Deposit	A	Interest	L	T	Buy	6/15	L		
72. Community Bank Certificate of Deposit	A	Interest	L	T	Buy	10/13	L		

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FINANCIAL DISCLOSURE REPORT

Page 5 of 5

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73. Federal Trust Bank Certificate of Deposit	A	Interest	L	T	Buy	10/8	L		
74. Greenville First Bank N.A. Certificate of Deposit	A	Interest	L	T	Buy	10/7	L		
75. Mercantile Bank West Michigan Certificate of Deposit	A	Interest	L	T	Buy	10/8	L		
76. Line Mountain PA Municipal Bond	A	Interest	K	T	Buy	6/18	K		
77. Lehigh County PA IDA Municipal Bond	A	Interest	K	T	Buy	6/18	K		
78. Northampton PA ASD Municipal Bond	B	Interest	L	T	Buy	6/18	L		
79. Westmont Hilltop PA Municipal Bond	A	Interest	M	T	Buy	8/3	M		
80. U.S. Treasury Bill	B	Interest	O	T	Buy	3/11	O		
81. U.S. Treasury Bill	B	Interest	O	T	Redeem	6/10	O	A	
82. [REDACTED] vacant land - Orange County, Florida		None	M	W	Partial Sale	3/2	O	G	WSG Coral Springs, L.P.

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

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

Part VII - Line 23 - LPL Premier Money Market Shares is a cash account that is used to hold funds until investment assets are purchased. As such, there are multiple purchase and sale transactions during the year, however, there is never a gain or loss.

Part VII - Line 82 - Orange County, Florida property - Information reported, as in prior years, represents 100% of the value. However, the reporting person [REDACTED] is one of three individuals who own the property in equal shares. The sale information that has been reported represents the reporting person [REDACTED] share only.

FINANCIAL DISCLOSURE 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

May 9, 2005

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

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 as of December 31, 2004, 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.



Wilkes-Barre, Pennsylvania
April 28, 2005