

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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.D.C. Middle Dist. of PA	3. Date of Report 05/03/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Judge	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address P. O. Box 11877 Harrisburg, PA 17108-1877	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.	
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 PA - 2010 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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	M	T					
4. Tyco International, stock	A	Dividend			Sold	11/09/10	J		
5. Harsco Corp., stock	A	Dividend	J	T	Buy (add'l)	06/11/10	J		
6. Carlisle Corp., stock	A	Dividend	J	T	Sold (part)	11/09/10	J	B	
7. Hewlett-Packard, stock	A	Dividend	K	T					
8. Johnson & Johnson, stock	A	Dividend	K	T					
9. Tidewater, Inc., stock	A	Dividend			Sold	11/09/10	J	B	
10. Littelfuse, Inc., stock		None	J	T					
11. Zimmer Holdings, Inc., stock		None	J	T					
12. Blairsville-Saltzburg School District-Bond	A	Interest	J	T					
13. Eastern York School District - Bond	A	Interest	J	T					
14. Hanover Public School District - Bond	A	Interest	J	T					
15. Fox Chapel Area School District - Bond	A	Interest	K	T					
16. Shaler Area School District - Bond	A	Interest	K	T					
17. Wyoming Area School District - Bond	B	Interest			Sold	12/03/10	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Hanover Area School District - Bond	A	Interest	K	T					
19. Northeast Bradford School District - Bond	A	Interest			Sold	12/08/10	K		
20. Muhlenberg School District - Bond	A	Interest	K	T					
21. Unionville-Chadds Ford School District - Bond	A	Interest	K	T					
22. Blackhawk Penn School District - Bond	A	Interest	K	T					
23. Lower Merion School District - Bond	B	Interest	L	T					
24. Seneca VL, PA School District - Bond	A	Interest	K	T					
25. Proctor & Gamble - stock	A	Dividend	K	T					
26. Quality Systems, Inc. - stock		None	K	T	Sold (part)	11/09/10	J	C	
27. Covidien LTD - stock	A	Dividend	J	T	Buy (add'l)	06/11/10	J		
28. Orrstown Financial Serv. - stock	A	Dividend	J	T					
29. Nazareth PA Area SD - bond	A	Interest	K	T					
30. Fleetwood Area School District - bond	A	Interest	K	T					
31. Goldman Sachs International Equity Fund	B	Interest	M	T					
32. Goldman Sachs Emerging Markets Fune	A	Interest	K	T					
33. Goldman Sachs U.S. Equity, Div. Fund	B	Interest	M	T					
34. Goldman Sachs High Yield Fund	B	Interest	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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H1 = \$1,000,001 - \$5,000,000

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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

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
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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)

35. Goldman Sachs High Yield Muni Fund	C	Interest	M	T					
36. Emerging Markets Currency Note		None	K	T					
37. G10 Currency Note		None			Sold	02/04/10	K		
38. PA State G.O. Bond	B	Interest	L	U	Buy	08/24/10	L		
39. Michigan Bond Auth.	B	Interest	L	U	Buy	06/30/10	L		
40. Tuscon, AZ Hiway Bond	B	Interest	L	U	Buy	06/11/10	L		
41.									
42.									
43.									
44.									
45.									
46.									
47.									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ William W. Caldwell

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)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544