

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/3/2010
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. (Monthly)	Commonwealth of PA - 2009 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) 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)
1. Fulton Financial Corp. stock	E	Dividend	N	T	Sold (part)	06/30/09	M	G	
2. Allied Irish Bank stock		None			Sold	06/09/09	K	E	
3. Intel Corp. stock	B	Dividend	K	T	Sold (part)	06/26/09	K	E	
4. Morgan Stanley Smith-Barney Bond Fund	D	Interest	M	T					
5. Tyco International, stock	A	Dividend	J	T					
6. Harsco Corp., stock	A	Dividend	J	T					
7. Maxim Integrated, stock	A	Dividend			Sold	11/13/09	J		
8. Carlisle Corp., stock	A	Dividend	J	T					
9. Hewlett-Packard, stock	A	Dividend	K	T					
10. Johnson & Johnson, stock	A	Dividend	K	T					
11. Tidewater, Inc., stock	A	Dividend	K	T					
12. Capital World Growth Fund	A	Dividend			Sold	06/09/09	K		
13. American Investment Co. of America-Fund See Section VIII	A	Dividend			Sold	06/09/09	J		
14. Littelfuse, Inc. stock		None	J	T					
15. Zimmer Holdings, Inc. stock		None	J	T					
16. EuroPacific Growth Fund	A	Dividend			Sold	06/09/09	K		
17. GMO Foreign Fund	A	Dividend			Sold	06/11/09	K		

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	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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 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)
18. Blairsville-Saltzburg School District - Bond	A	Interest	J	T					
19. Eastern York School District - Bond	A	Interest	J	T					
20. Hanover Public School District - Bond	A	Interest	J	T					
21. Fox Chapel Area School District - Bond	A	Interest	K	T					
22. Shaler Area School District - Bond	A	Interest	K	T					
23. Greensburg Salem School District - Bond	A	Interest			Sold	09/15/09	K		
24. Wyoming Area School District - Bond	B	Interest	K	T					
25. Hanover Area School District - Bond	A	Interest	K	T					
26. Northeast Bradford School District - Bond	A	Interest	K	T					
27. Muhlenberg School District - Bond	A	Interest	K	T					
28. Unionville-Chadds Ford School District - Bond	A	Interest	K	T					
29. Blackhawk Penn School District - Bond	A	Interest	K	T					
30. Lower Merion School District - Bond	B	Interest	L	T					
31. Seneca VL, PA School District - Bond	A	Interest	K	T					
32. Proctor & Gamble - stock	A	Dividend	J	T					
33. Quality Systems, Inc - stock		None	J	T					
34. Covidien LTD - 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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35. Tyco Electronics - stock	A	Dividend			Sold	09/22/09	J		
36. Orrstown Financial Serv.-stock	A	Dividend	J	T					
37. Nazareth PA Area SD - bond	A	Interest	K	T					
38. Fleetwood Area School District- bond	A	Interest	K	T	Buy	01/05/09	K		
39. Goldman Sachs International Equity Fund	B	Interest	M	T	Buy	06/19/09	M		
40. Goldman Sachs Emerging Markets Fund	A	Interest	K	T	Buy	06/19/09	K		
41. Goldman Sachs U.S.Equity, Div. Fund	B	Interest	M	T	Buy	06/19/09	M		
42. Goldman Sachs High Yield Fund	B	Interest	L	T	Buy	06/18/09	L		
43. Goldman Sachs High Yield Muni Fund	C	Interest	M	T	Buy	06/18/09	M		
44. Emerging Markets Currency Note		None	K	T	Buy	09/01/09	K		
45. G10 Currency Note		None	K	T	Buy	09/01/09	K		

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

Section VII Line 4 - Smith-Barney merged with Morgan Stanley

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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

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