

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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 5/6/2004
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 1/1/2003 to 12/31/2003
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. 9-11 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.

Fees which have been billed and remain unpaid from the practice of law, which I left in 12/97, will be remitted to me when collected.

RECEIVED
2004 MAY 12 AM 11:50
FINANCIAL
DISCLOSURE OFFICE

Date of Report

5/6/2004

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.)

DATE _____

SOURCE AND TYPE

GROSS 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.)

DATE _____

SOURCE 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.)

SOURCE

DESCRIPTION

1.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. Mellon Bank

Credit Card

J

2. MBNA America

Credit Card

J

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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.  Trust	B	Div. & Int.	M	T					
2. - WYETH - Common Stock									
3. - Chevron n/k/a Chevron Texaco Corp. - Common Stock					partial	3/28	J	C	
4. - G E Common Stock									
5. - Johnson & Johnson Common Stock									
6. - Microsoft Common Stock									
7. - Sara Lee Common Stock					sold	3/28	J	C	
8. - Harley Davidson Common Stock									
9. - Carnival Corp. k/n/a Carnival CP New Paired Common Stock									
10. - Cisco Sys. Inc. Common Stock									
11. - Altria Group Inc. Common Stock					buy	8/14	J		
12. - Chicos Fas Inc. Common Stock					buy	8/14	J		
13. - Citigroup Inc. Common Stock					buy	8/14	J		
14. - Constellation Brands Inc. Class A Common Stock					buy	8/14	J		
15. - Dominion Res. Inc. (New) Common Stock					buy	8/14	J		
16. - Dow Chemical Co. Common Stock					buy	8/14	J		
17. - Allergan Inc. Common Stock					buy	8/14	J		
18. IRA #1	B	Div. & Int.	M	T					

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 = \$250,000-\$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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19. - Verizon Common Stock									
20. - Morgan Stanley Dean Witter Liquid Asset Fund					sell	10/31	K	B	
21. - LPL Premier Money Market Shares					buy	11/6	K		
22. - Carnival Corp. Common Stock					sold	4/17	J	D	
23. -Computer Assoc. Int'l Common Stock					sold	12/15	J		
24. - Carlisle Co. Inc. Common Stock									
25. - Conoco Common Stock									
26. - Dial Corp. New Common Stock									
27. - Pfizer Inc. Common Stock									
28. - JDS Uniphase Common Stock									
29. - MCI Worldcom Common Stock									
30. - Dell Computers Common Stock									
31. - Lucent Technologies Common Stock									
32. - Agere Sys. Inc. Class A Common Stock					sell	8/15	J	A	
33. - Agere Sys. Inc. Class B Common Stock					sell	8/15	J	A	
34. -Citigroup Common Stock					buy	8/15	J		
35. - Precision Castparts Common Stock									
36. - Bristol Myers Squibb Common Stock									

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37. - FleetBoston Financial Common Stock					buy	8/15	J		
38. - Allergan Inc. Common Stock					buy	8/15	J		
39. - Chico's Fas Inc. Common Stock					buy	8/15	J		
40. - Harley Davidson Inc. Common Stock					buy	8/15	J		
41. - Microsoft Corp. Common Stock					buy	8/15	J		
42. - Whole Foods Markets Inc. Common Stock					buy	8/15	J		
43. - Leucadia Nat'l Corp. Common Stock					buy	12/5	J		
44. - Cooper COS Inc. Common Stock					buy	12/15	J		
45. - Honeywell Int'l Inc. Common Stock					buy	12/15	J		
46. Wachovia Corp. Common Stock	D	Dividend	M	T					
47. East Stroudsburg S.D. Municipal Bond	B	Interest	K	T	redeem	11/17	K		
48. Warwick S.D. Municipal Bond	B	Interest	L	T					
49. PA State Higher Educ. Bond	B	Interest	K	T					
50. Eastern Penn S.D. Municipal Bond	B	Interest	L	T					
51. Great Valley S.D. Municipal Bond	B	Interest	K	T	partial red.	4/17	J		
52. Morgan Stanley Dean Witter Liquid Asset Fund	A	Dividend	J	T	sell	10/30	J		
53. LPL Premier Money Market Shares	A	Interest	K	T	buy	11/20	K		
54. Pfizer Inc. Common Stock	A	Dividend	J	T					

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55. IRA #2	A	Div. & Int.	J	T					
56. - MSDW Growth Fund B					sold	12/19	J	A	
57. - MSDW American Opp. B					sold	12/19	J	A	
58. - LPL Premier Money Market Shares					buy	12/12	J		
59. - LPL Premier Money Market Shares					buy	12/24	J		
60. Morgan Stanley Dean Witter Liquid Asset Fund	A	Dividend	J	T	sold	12/5	J		
61. LPL Premier Money Market Shares	A	Dividend	J	T	buy	12/12	J		
62. Gen. Motors H Com Stk now Hughes Elect. Corp. & News Corp.		None	J	T	exchange	12/24	J		
63.  acres vacant land - Orange County, Florida		None	P1	W					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Part VII - Line 18 - IRA #1 was formerly Morgan Stanley Dean Witter IRA. This account is now with Integral Investment Group/ Linsco Private Ledger.

Part VII - Line 55 - IRA #2 was formerly Morgan Stanley Dean Witter IRA. This account is now with Integral Investment Group/ Linsco Private Ledger.

Part VII - Line 59 of 2002 report - First Credit Union of Scranton Account does not meet reporting requirements and therefore will not be listed on this and future reports.

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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 11, 2004

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