

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/08/2014
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 01/01/2013 to 12/31/2013
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.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<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.)*

SOURCE

DESCRIPTION

VALUE

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.)*

CREDITOR

DESCRIPTION

VALUE 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					Sold	10/22/13	J	C	
3. -Carnival Corp Paired CTF-Common Stk									
4. -Chevron Corp - Common Stk									
5. -ConocoPhillips - Common Stk									
6. -Corning Incorporated - Common Stk									
7. -Dow Chemical Co. - Common Stk									
8. -Intel Corp. - Common Stk									
9. -Johnson & Johnson - Common Stk					Sold	11/26/13	J	C	
10. -LPL Insured Cash Account									
11. -Merck & Company, Inc. - Common Stk									
12. -Microsoft Corp. - Common Stk									
13. -Noble Corp - Common Stk									
14. -Phillips 66 - Common Stk					Sold	10/22/13	J	B	
15. -PPL Corp. - Common Stk									
16. -Veolia Environment Sponsored ADR - Common Stk					Sold	11/26/13	J		
17. -Waste Management, Inc. - Common Stk									

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 M =\$100,001 - \$250,000
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	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 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. -Western Digital Corp. - Common Stk					Sold	10/22/13	J	D	
19. - Coach Inc					Buy	10/22/13	J		
20. - EMC Corp Mass					Buy	10/22/13	J		
21. - Nuance Communication Inc					Buy	11/26/13	J		
22. - Plum Creek Timber					Buy	11/13/13	J		
23. IRA #1	C	Int./Div.	M	T					
24. -Chevron Corp. - Common Stk									
25. - Chrimson Wine Group - Common Stk									
26. -Frontier Communications Corp. - Common Stk									
27. -Leucadia National Corp. - Common Stk									
28. -LPL Insured Cash Account									
29. -McDonalds Corp. - Common Stk									
30. -PPL Corp. - Common Stk									
31. -Verizon Communications, Inc. - Common Stk									
32. -Whole Foods Market, Inc. - Common Stk									
33. -Am. Exp. Centurion Bank, 1.15% Cert of Dep, Due 12/09/13					Redeemed	12/09/13	L		
34. Ally Bank, 2.00% Certificate of Dep, Due 05/14/13	A	Interest			Redeemed	05/14/13	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 =\$250,000,001 - \$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	
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35. Ally Bank, .65% Certificate of Dep, Due 01/26/15		None	L	T	Buy	07/17/13	M		
36. Discover Bank, 0.40% Cert of Dep, Due 04/04/13	A	Interest			Redeemed	04/04/13	L		
37. GE Capital Retail Bank, .35% Cert of Dep, Due 04/21/14		None	L	T	Buy	07/17/13	L		
38. LPL Financial Insured Cash Account	A	Interest	J	T					
39. Luzerne Bank Accounts		None	J	T					
40. Wells Fargo Bank - Insured Cash Acct(Formerly Wachovia Bank)	A	Interest	K	T					
41. Wells Fargo Bank - Savings Account	A	Interest	K	T					
42. IRA #2	A	Int./Div.	J	T					
43. -Whole Foods Market, Inc. - Common Stk									
44. -LPL Financial Insured Cash Account									
45. Direct TV Group, Inc. - Common Stk		None	J	T					
46. News Corp. Class A. - Common Stk	A	Dividend	J	T	Spinoff (from line 48)	06/28/13	J		
47. News Corp. Class A - Common Stock					Sold	07/10/13	J	A	
48. Twenty First Century Fox, Inc.- Common Stk fka News Corp.	A	Dividend	J	T					
49. Ally Bank, 2.05% Certificate of Deposit, due 5/7/13	B	Interest			Redeemed	05/07/13	M		
50. Am Exp Centurion Bank, 1.15% Cert of Dep, Due 12/09/13	C	Interest			Redeemed	12/09/13	M		
51. Discover Bank, 0.70% Cert of Dep, Due 04/04/14	B	Interest	M	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	
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52. GE Capital Retail Bank, 0.9% Cert of Dep, Due 12/01/14	A	Interest	M	T					
53. Ally Bank, .8%, Certificate of Deposit, Due 07/24/15		None	M	T	Buy	07/17/13	M		
54. LPL Financial Insured Cash Account	A	Interest	M	T					
55. 10 acres vacant land - Orange County, Florida		None	M	W					
56. Estate #1 - 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 10 - 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 28 - 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 38 - 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 44 - 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 53 - 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 54 - 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 55 - This is property in Estate #1.

Part VII - Lines 46, 47 & 48 - On June 28, 2013, News Corporation completed the separation of its business into two independent publicly-traded companies. As part of this separation, News Corporation changed its name to Twenty First Century Fox, Inc. and the new independent publicly traded company took the name News Corporation (also known as "new News Corporation"). Record holders of Twenty First Century Fox, Inc. class A common stock as of 5:00 p.m. Eastern Time on the record date of June 21, 2013 received one share of the new News Corporation Class A common stock for every four shares of Twenty First Century Fox, Inc. class A common stock held. Fractional shares of the new News Corporation were not distributed. The shareholders received a payment of cash in lieu of the fractional share of the new News Corporation Class A common Stock. The cash in lieu of shares has been reported on line 47 as a sale of the new News Corporation fractional share of common Stock.

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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

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, 2013, 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.

ParenteBeard LLC

Wilkes-Barre, Pennsylvania
May 8, 2014