

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/09/2018
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 01/01/2017 to 12/31/2017
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-Executor	Estate #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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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 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. IRA #1 (H)									
2. -Alphabet Inc - CL C fka Google Inc.		None	K	T					
3. -Chevron Corp. - Common Stk	A	Dividend	J	T					
4. -Crimson Wine Group - Common Stk		None	J	T					
5. -Frontier Communications Corp. - Common Stk	A	Dividend	J	T	Sold (part)	07/10/17	J	A	
6. -LPL Insured Cash Account	A	Int./Div.	M	T					
7. -PPL Corp. - Common Stk	A	Dividend	J	T					
8. -Verizon Communications, Inc. - Common Stk	A	Dividend	J	T					
9. -Weyerhaeuser Company - Common Stk	A	Dividend	J	T					
10. -Whole Foods Market, Inc. - Common Stk	A	Dividend			Sold	08/16/17	K	B	
11. -Goldman Sachs Bank, .600%, Certificate of Dep., Due 3/30/17	A	Interest			Redeemed	03/30/17	L		
12. Goldman Sachs Bank, 1.050% Certificate of Dep, Due 8/11/17	B	Interest			Redeemed	08/11/17	L		
13. Capital One, N.A., 1.150% Certificate of Dep, Due 10/05/18	B	Interest	L	T					
14. American Express, 1.70%, Certificate of Deposit, Due 8/22/19		None	L	T	Buy	08/22/17	M		
15. LPL Financial Insured Cash Account	A	Interest	J	T					
16. Luzerne Bank Account		None	L	T					
17. Wells Fargo Bank - Insured Cash Acct	A	Interest	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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. Wells Fargo Bank - Savings Account	A	Interest	K	T					
19. IRA #2 (H)									
20. -LPL Financial Insured Cash Account	A	Interest	J	T					
21. - Whole Food Market, Inc. - Common Stock	A	Dividend			Sold	08/28/17	J	A	
22. - AT&T Inc - Common Stock		None	J	T	Buy	12/26/17	J		
23. At&T Inc - Common Stock (formerly Direct TV Group, Inc.)	A	Dividend	J	T					
24. Bard C R Inc.- Common Stock	A	Dividend			Merged (with line 25)	12/29/17	J	D	
25. Becton Dickinson Company - Common Stock (Merger from Line 24)		None	J	T	Sold (part)	12/29/17	J	A	
26. Chevron Corp- Common Stock	A	Dividend	J	T					
27. Conocophillips- Common Stock	A	Dividend	J	T					
28. Corning Inc.- Common Stock	A	Dividend	J	T					
29. Dell Technologies, Inc - Common Stock		None	J	T					
30. Dow Chemical Company- Common Stock	A	Dividend			Merged (with line 48)	08/31/17	J	A	
31. Gilead Sciences Inc - Common Stock	A	Dividend	J	T					
32. Johnson & Johnson- Common Stock	A	Dividend	J	T					
33. Merck & Company Inc- Common Stock	A	Dividend	J	T					
34. Microsoft Corp- Common 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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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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35. PPL Corp.- Common Stock	A	Dividend	J	T					
36. Verizon Communications- Common Stock	A	Dividend	J	T					
37. Waste Management Inc.- Common Stock	A	Dividend	J	T					
38. Weyerhaeuser Company - Common Stk	A	Dividend	J	T					
39. American Express Bank, 0.900%, Certificate of Deposit, Due 01/30/17	A	Interest			Redeemed	01/30/17	M		
40. Capital One N.A., 1.300%, Certificate of Deposit, Due 10/7/19	C	Interest	M	T					
41. Discover Bank Greenwood, 1.2%, Certificate of Dep, Due 07/31/17	B	Interest			Redeemed	07/31/17	M		
42. Sallie Mae Bank, 2%, Certificate of Dep, Due 12/10/18	C	Interest	M	T					
43. Wells Fargo Bank, 1.1%, Certificate of Dep, Due 03/15/18	B	Interest	M	T	Buy	02/15/17	M		
44. LPL Financial Insured Cash Account	A	Interest	L	T					
45. 10 acres vacant land Orange County, Florida (Appraisal Date 8/18/2014)		None	N	Q					
46. Estate #1 - 16 acres vacant land, Slocum Twp, Luzerne Cty,PA		None	K	W					
47. American Express Bank 1.900% Certificate of Deposit Due 8/24/20		None	M	T	Buy	08/22/17	M		
48. DowDupont - Common Stock (Merger from Line 30)	A	Dividend	J	T					

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(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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII - Line 6 - 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 15 - 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 20 - 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 45 - Orange County, Florida property - Information reported, as in prior years, represents 100% of the value. However, the reporting person's spouse owns a one-third interest in the property; one other individual also owns a one-third interest and two other individuals each own a one-sixth interest in the property.

Part VII - Line 46 - This is property in Estate #1.

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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
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