

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/12/2015
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 01/01/2014 to 12/31/2014
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 - Terminated in 2014
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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. [REDACTED] Trust	D	Int./Div.			Closed	12/03/14	N		
2. -Bard C.R. Incorporated - Common Stock					Distributed	12/03/14	J		
3. -Carnival Corp Paired CTF- Common Stock					Sold	01/22/14	J	D	
4. -Chevron Corp. -Common Stock					Distributed	12/03/14	J		
5. -Conoco Phillips- Common Stock					Distributed	12/03/14	J		
6. -Corning Incorporated - Common Stock					Distributed	12/03/14	J		
7. -Dow Chemical- Common Stock					Distributed	12/03/14	J		
8. -Intel Corp. - Common Stock					Sold	07/22/14	K	D	
9. -Johnson & Johnson - Common Stock					Distributed	12/03/14	J		
10. -LPL Insured Cash Account					Distributed	12/03/14	M		
11. -LPL Insured Cash Account					Distributed	12/04/14	J		
12. -LPL Insured Cash Account					Distributed	12/17/14	J		
13. -Merck & Company, Inc. - Common Stock					Distributed	12/03/14	J		
14. -Microsof Corp. - Common Stock					Distributed	12/03/14	J		
15. -Noble Corp. - Common Stock					Distributed	12/03/14	J		
16. -PPL Corp. - Common Stock					Distributed	12/03/14	J		
17. -Waste Management, Inc. - Common Stock					Distributed	12/03/14	J		

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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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)

18. -Coach, Inc. - Common Stock					Distributed	12/03/14	J		
19. -EMC Corp. Mass - Common Stock					Distributed	12/03/14	J		
20. -Nuance Communications Inc. - Common Stock					Distributed	12/03/14	J		
21. -Plum Creek Trader - Common Stock					Distributed	12/03/14	J		
22. -Paragon Offshore PLC- Common Stock					Spinoff (from line 15)	08/01/14	J		
23. -Paragon Offshore PLC - Common Stock					Sold	10/29/14	J		
24. -Verizon Communication - Common Stock					Buy	01/22/14	J		
25. -Verizon Communications - Common Stock					Distributed	12/03/14	J		
26. IRA #1	B	Int./Div.	M	T					
27. -Chevron Corp. - Common Stk									
28. -Crimson Wine Group - Common Stk									
29. -Frontier Communications Corp. - Common Stk									
30. -Leucadia National Corp. - Common Stk									
31. -LPL Insured Cash Account									
32. -McDonalds Corp. - Common Stock					Sold	03/20/14	J	C	
33. -PPL Corp. - Common Stk									
34. -Verizon Communications, 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
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 U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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)

35. -Whole Foods Market, Inc. - Common Stk									
36. -Goldman Sachs Bank, 0.50% Cert of Dep, Due 03/28/16					Buy	03/20/14	L		
37. Ally Bank, .65% Certificate of Dep, Due 01/26/15	A	Interest	M	T					
38. Discover Bank, 0.75% Cert of Dep, Due 08/01/16		None	M	T	Buy	07/22/14	M		
39. GE Capital Retail Bank, .35% Cert of Dep, Due 04/21/14	A	Interest			Redeemed	04/21/14	L		
40. LPL Financial Insured Cash Account	A	Interest	J	T					
41. Luzerne Bank Accounts		None	M	T					
42. Wells Fargo Bank - Insured Cash Acct(Formerly Wachovia Bank)	A	Interest	K	T					
43. Wells Fargo Bank - Savings Account	A	Interest	K	T					
44. IRA #2	A	Int./Div.	J	T					
45. -LPL Financial Insured Cash Account									
46. - Whole Food Market, Inc. - Common Stock									
47. Bard C R Inc.- Common Stock (X)		None	J	T					
48. Chevron Corp- Common Stock (X)		None	J	T					
49. Coach Inc. - Common Stock (X)	A	Dividend	J	T					
50. Conocophillips- Common Stock (X)		None	J	T					
51. Corning Inc.- Common Stock (X)		None	J	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 = \$250,001 - \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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)
52. Direct TV Group, Inc. - Common Stock		None	J	T					
53. Dow Chemical Company- Common Stock (X)		None	J	T					
54. EMC Corp- Common Stock (X)		None	J	T					
55. Johnson & Johnson- Common Stock (X)		None	J	T					
56. Merck & Company Inc- Common Stock (X)		None	J	T					
57. Microsoft Corp- Common Stock (X)		None	J	T					
58. News Corp New- Common Stock		None	J	T					
59. Noble Corp- Common Stock (X)		None	J	T					
60. Nuance Communication Inc- Common Stock (X)		None	J	T					
61. Plum Creek Timber Company Inc.- Common Stock (X)		None	J	T					
62. PPL Corp.- Common Stock (X)		None	J	T					
63. Twenty First Century Fox- Common Stock	A	Dividend	J	T					
64. Verizon Communications- Common Stock (X)		None	J	T					
65. Waste Management Inc.- Common Stock (X)	A	Dividend	J	T					
66. Ally Bank, .8%, Certificate of Dep, Due 07/24/15	B	Interest	M	T					
67. Discover Bank Greenwood, 1.2%, Certificate of Dep, Due 07/31/17		None	M	T	Buy	07/22/14	M		
68. Discover Bank Greenwood, .70% Cert of Dep, Due 04/04/14	A	Interest			Redeemed	04/04/14	M		

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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)
69. Goldman Sachs Bank USA, .7%, Certificate of Dep, Due 09/26/16	A	Interest	M	T	Buy	03/20/14	M		
70. Sallie Mae Bank, 2%, Certificate of Dep, Due 12/10/18		None	M	T	Buy	12/05/14	M		
71. GE Capital Retail Bank, .9% Cert of Dep, Due 12/01/14	A	Interest			Redeemed	12/01/14	L		
72. LPL Financial Insured Cash Account	A	Interest	L	T					
73. [REDACTED] vacant land - Orange County, Florida		None	M	W					
74. Estate #1 - [REDACTED] vacant land, Slocum Twp, Luzerne Cty, PA		None	K	W					
75.									

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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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

Part VII - Line 1 - [REDACTED] Trust - Information reported, as in prior years, represents 100% of the trust assets. However, the reporting person's [REDACTED] is one of three beneficiaries who share equally in the trust. The trust was terminated in 2014, and all assets were distributed pro-rata to the three beneficiaries of the trust. All assets that were distributed to the beneficiaries and assets that were sold during the 2014 year are reported separately on lines 2 through 25. In addition, the total value of the trust assets that have been distributed has been identified on Line 1, column D(3).

Part VII - Line 10, 11, 12 - 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 31 - 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 40 - 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 - 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 72 - 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 [REDACTED] 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 47, 48, 49, 50, 51, 53, 54, 55, 56, 57, 59, 60, 61, 62, 64, 65. - The assets reported on these lines represent the 1/3 share of investment assets distributed from Trust #1.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Caputo, A. Richard

Date of Report

05/12/2015

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