

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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. District Court, Middle District of Pennsylvania	3. Date of Report 04/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address P. O. Box 11877 Harrisburg, PA 17108-1877		
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. _____	_____
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. monthly	Commonwealth of Pennsylvania - 2015 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.)*

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.)*

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. Fulton Finanacial Corp.,stock	E	Dividend	N	T					
2. Intel Corp., stock	B	Dividend	L	T					
3. Carlisle Corp., stock	A	Dividend	K	T					
4. Johnson & Johnson, stock	A	Dividend	K	T					
5. Littelfuse, Inc., stock	A	Dividend	L	T					
6. Zimmer Holdings, Inc., stock	A	Dividend	K	T					
7. Seneca Vy. PA School District, bond	A	Interest			Matured	02/15/16	K		
8. Proctor & Gamble, stock	A	Dividend	J	T					
9. Medtronic, PLC, stock	A	Dividend	K	T					
10. Goldman Sachs International Equity Fund	B	Interest	M	T					
11. Goldman Sachs Emerging Markets Fund	A	Interest	K	T					
12. Goldman Sachs U.S. Equity, Div. Fund	C	Interest	M	T					
13. PA State.G.O. Bond	B	Interest	K	T					
14. Tuscon, AZ Hiway Bond	B	Interest	L	T					
15. North Penn School District	B	Interest	L	T					
16. Board of Regents - Texas System	B	Interest	L	T					
17. Lehigh Co PA Gen Pwp	A	Interest	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 = \$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 \$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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☐ 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. Bellwood-Area PA School Bond	A	Interest	K	T					
19. PA State First Ser A	A	Interest	J	T					
20. PA Public School Building Authority	A	Interest	K	T					
21. Erie PA RF-OID-AGM	A	Interest	J	T					
22. Berks Co. PA RF-OID-AGM	B	Interest	J	T					
23. Hamburg Area School District	A	Interest	J	T					
24. PA State Higher EFA	A	Interest	J	T					
25. Allegheny Co. PA Ser.	B	Interest	K	T					
26. King Co. Wash. Libr. Dist.	B	Interest	L	T					
27. Blackrock Muni Trust	A	Interest	K	T					
28. Mohawk Area School Dist.	B	Interest			Matured	11/1/16	L		
29. New York NY G.O.	B	Interest	L	T					
30. Wilson, PA School District	C	Interest	L	T					
31. Central Dauphin PA Sch. Dist.	B	Interest	K	T					
32. Penn Hghr Edut Assistance	B	Interest	K	T					
33. Penn St for Futures	B	Interest	K	T					
34. Phil PA G.O. Bond	B	Interest	K	T					

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35. State College PA Sch Dist	A	Interest	K	T					
36. Northhampton Twp. Pa. Series B	B	Interest	L	T					
37. Hillsborough , Fla. Bond	A	Interest	L	T					
38. Washoe County, Nev. GO	A	Interest	L	T	Buy	11/17/16	K		
39. Riley County, Kan. GO	A	Interest	K	T	Buy	02/18/16	K		
40. West Jefferson Hills	A	Interest	J	T	Buy	07/11/16	J		
41. South Middleton Mun.	A	Interest	J	T	Buy	07/11/16	J		

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

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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/ William W. Caldwell**

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
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