

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 04/22/2013
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 01/01/2012 to 12/31/2012
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. monthly	Commonwealth of Pennsylvania - 2012 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.)*

<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.)*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. Fulton Financial Corp., stock	E	Dividend	N	T					
2. Intel Corp., stock	B	Dividend	K	T					
3. Harsco Corp., stock	A	Dividend			Sold	01/20/12	J		
4. Carlisle Corp., stock	A	Dividend	K	T					
5. Hewlett-Packard, stock	A	Dividend			Sold	09/21/12	J		
6. Johnson & Johnson, stock	A	Dividend	K	T					
7. Littelfuse, Inc., stock		None	K	T					
8. Zimmer Holdings, Inc., stock		None	J	T					
9. Eastern York School District, bond	A	Interest	J	T					
10. Hanover Public School District, bond	A	Interest			Matured	02/01/12	J		
11. Fox Chapel Area School District, bond	A	Interest			Matured	04/01/12	J		
12. Shaler Area School District, bond	A	Interest	K	T					
13. Hanover Area School District, bond	A	Interest			Matured	02/01/12	J		
14. Muhlenberg School District, bond	A	Interest	J	T					
15. Unionville-Chadds Ford School District, bond	A	Interest			Matured	12/01/12	K		
16. Lower Merion School District, bond	B	Interest	L	T					
17. Seneca Valley, PA School District, bond	A	Interest	K	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	
	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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☐ 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. Proctor & Gamble, stock	A	Dividend	J	T	Sold (part)	09/21/12	J		
19. Quality Systems, Inc., stock		None	J	T					
20. Covidien, stock	A	Dividend	K	T					
21. Orrstown Financial Serv., stock	A	Dividend	J	T					
22. Nazareth PA Area School District, bond	A	Interest	K	T					
23. Fleetwood Area School District, bond	A	Interest	K	T					
24. Goldman Sachs International Equity Fund	B	Interest	M	T					
25. Goldman Sachs Emerging Markets Fund	A	Interest	K	T					
26. Goldman Sachs U.S. Equity, Div. Fund	B	Interest	M	T					
27. Goldman Sachs High Yield Fund	B	Interest	K	T					
28. Goldman Sachs High Yield Muni Fund	C	Interest	M	T					
29. PA State G.O. Bond	B	Interest	L	T					
30. Michigan Bond Auth.	B	Interest	L	T					
31. Tucson, AZ Hiway Bond	B	Interest	L	T					
32. Dupont Company	A	Dividend			Sold	11/09/12	J		
33. North Penn School District	B	Interest	L	T					
34. Board of Regents - Texas System	B	Interest	L	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	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	
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35. Allegheny Co. PA IDA	A	Interest			Sold	12/03/12	J		
36. Lehigh Co. PA Gen Pwp	A	Interest	J	T					
37. Bellwood-Antis PA School	A	Interest	K	T					
38. PA State First Ser A	A	Interest	J	T					
39. PA Public School Building Authority	A	Interest	J	T					
40. Spring Garden PA Area School District	A	Interest	J	T					
41. Erie PA RF-OID-AGM	A	Interest	J	T					
42. Berks Co. PA RF-OID-AGM	A	Interest	J	T					
43. Hamburg Area School District	A	Interest	K	T					
44. Southern Lehigh PA School District	A	Interest			Sold	12/03/12	J		
45. PA State Higher EFA	A	Interest	J	T					
46. Allegheny Co. PA Ser	B	Interest	K	T					
47. King Co. Wash. Libr. Dist.	A	Interest	L	T	Buy	11/19/12	L		
48. Blackrock Muni Trust	A	Interest	K	T	Buy	10/05/12	K		

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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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