

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) Caputo, A. Richard	2. Court or Organization U.S. Dist. Ct. M.D. of PA	3. Date of Report 05/06/2013
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 01/01/2012 to 12/31/2012
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.)*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. _____

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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. Trust	D	Int./Div.	N	T					
2. -Bard C.R. Incorporated-Common Stk									
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									
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					Spinoff (from line 5)	04/30/12	J		
15. -PPL Corp. - Common Stk									
16. -Veolia Environment Sponsored ADR - Common Stk									
17. -Waste Management, Inc. - Common Stk									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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. -Western Digital Corp. - Common Stk									
19. IRA #1	C	Int./Div.	M	T					
20. -Chevron Corp. - Common Stk									
21. -Frontier Communications Corp. - Common Stk									
22. -Leucadia National Corp. - Common Stk									
23. -LPL Insured Cash Account									
24. -McDonalds Corp. - Common Stk									
25. -PPL Corp. - Common Stk									
26. -Verizon Communications, Inc. - Common Stk									
27. -Whole Foods Market, Inc. - Common Stk									
28. -Am. Exp. Centurion Bank, 1.15% Cert of Dep, Due 12/09/13									
29. Ally Bank, 2.00% Certificate of Dep, Due 05/14/13	A	Interest	K	T					
30. Branch Banking & Trust Co., 3.00% Cert of Dep, Due 03/12/12	A	Interest			Redeemed	03/12/12	K		
31. Discover Bank, 0.40% Cert of Dep, Due 04/04/13		None	L	T	Buy	03/28/12	L		
32. Discover Bank, 0.20% Cert of Dep, Due 10/04/12	A	Interest			Buy	03/28/12	M		
33.					Redeemed	10/04/12	L		
34. East West Bank, 0.45% Cert of Dep, Due 02/23/12	A	Interest			Redeemed	02/23/12	L		

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	

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35. Goldman Sachs Bank USA, 3.05% Cert of Dep, Due 02/13/12	A	Interest			Redeemed	02/13/12	K		
36. LPL Financial Insured Cash Account	A	Interest	M	T					
37. Luzerne Bank Accounts		None	J	T					
38. Wells Fargo Bank - Insured Cash Acct(Formerly Wachovia Bank)	A	Interest	K	T					
39. Wells Fargo Bank - Savings Account	A	Interest	K	T					
40. IRA #2	A	Int./Div.	J	T					
41. -Whole Foods Market, Inc. - Common Stk					Sold (part)	03/15/12	J		
42. -LPL Financial Insured Cash Account									
43. Direct TV Group, Inc. - Common Stk		None	J	T					
44. News Corp. Class A. - Common Stk	A	Dividend	J	T					
45. Ally Bank, 2.05% Certificate of Deposit, due 5/7/13	C	Interest	M	T					
46. Am Exp Centurion Bank, 1.15% Cert of Dep, Due 12/09/13	C	Interest	M	T					
47. Citi Bank, 3.80% Cert of Dep, Due 05/14/12	A	Interest			Redeemed	05/14/12	L		
48. Discover Bank, 0.70% Cert of Dep, Due 04/04/14	A	Interest	M	T	Buy	03/28/12	M		
49. East West Bank, 0.45% Cert of Dep, Due 02/23/12	A	Interest			Redeemed	02/23/12	M		
50. GE Capital Retail Bank, 0.9% Cert of Dep, Due 12/01/14	A	Interest	M	T	Buy	05/30/12	M		
51. Goldman Sachs Bank USA, 3.05% Cert of Dep, Due 02/13/12	B	Interest			Redeemed	02/13/12	L		

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52. LPL Financial Insured Cash Account	A	Interest	K	T					
53. vacant land - Orange County, Florida		None	M	W					
54. 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 23 - 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 36 - 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 42 - 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 52 - 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 - 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 54 - 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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

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The Honorable
United States
Scranton, Pe