



Filing ID #10027416

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Earl Leroy Carter
Status: Member
State/District: GA01

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 08/13/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ameris Bank [BA]		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Ameris Bank [BA]		\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Bank of the Ozarks [BA]		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Carter's Pharmacy, Inc. [OL] LOCATION: Pooler, GA, US DESCRIPTION: Pharmacy	SP	\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest	\$15,001 - \$50,000	<input type="checkbox"/>
First Chatham Bank CD [BA]		\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Guardian Point Capital [HE] DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the fund manager to determine this fund qualifies as an Excepted Investment Fund		\$5,000,001 - \$25,000,000	Capital Gains, Dividends, Interest	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(EIF).					
Mass Mutual 401(k) ⇒ Cash Held in Interest-Bearing Account [IH]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ Comstock (Invesco) [MF]		\$1,000,001 - \$5,000,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ MM S&P 500 Index (Northern Trust) [MF]		\$500,001 - \$1,000,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ MM S&P Md Cp Indx (Nrtn Tr) [MF]		\$250,001 - \$500,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ Whole Life Insurance Policy [OT]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Life insurance policy held in 401(k) account.					
Morgan Stanley Unified Management Account ⇒ Alternative Investment Partners Absolute Return Fund [HE]		\$250,001 - \$500,000	None		<input type="checkbox"/>
COMMENTS: Fund manager letter on file with the Committee on Ethics.					
Morgan Stanley Unified Management Account ⇒ Eaton Vance Large Value [HE]		\$500,001 - \$1,000,000	None		<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HE]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Neuberger Berman Intl ADR [HE]		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Sterling Capital Mgt Mid Val [HE]		\$250,001 - \$500,000	None		<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [RE]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Winslow Large Cap Growth [HE]		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Nuveen Intermediate Duration Muni Bd 1 [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: The Office of Congressman Carter consulted with the Committee on Ethics to determine this fund qualifies as Excepted Investment Fund (EIF).					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Sea Island Bank [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ ALBANY DOUGHERTY AUTH GA INNCR CITY REV BOND (7/1/34) [GS] DESCRIPTION: Interest Rate 4.500%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ Ameris Bancorp (ABCB) [ST]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Stifel ⇒ ATLANTA GA DEV AUTH REV TUFF (01/01/16) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ ATLANTA GA DEV AUTH STDNT HSG (09/01/28) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ Bank of America Corporation (BAC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ BIBB CNTY GA DEV AUTH (07/01/30) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLL CITY CNTY HOSP AUTH (07/01/27) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLLTON GA PAYROLL DEV REV ANTIC (06/15/23) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA DEV AUTH STDNT HSG (07/15/29) [GS] DESCRIPTION: Interest Rate 4.125%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ COBB CNTY GA DEV STDNT REC (07/15/29) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA DEV STDNT REC ACTIVITY CTR (07/15/25) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA KENNESTONE (04/01/31) [GS] DESCRIPTION: Interest Rate 4.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA WTR & SWR (7/1/19) [GS]		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Stifel ⇒ DALTON GA DEV AUTH (08/15/25) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST DOW TARGET [OT] DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE [OT] DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [OT] DESCRIPTION: UNIT INVESTMENT TRUST		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
ETF [EF]					
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FULTON CNTY DEV AUTH REV TUFF (09/01/23) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.750%					
Stifel ⇒ FULTON CNTY GA DEV AUTH REV RFDG (05/01/26) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ GEORGIA ST HSG & FIN AUTH (12/10/27) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.125%					
Stifel ⇒ GEORGIA ST SER A (02/01/29) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ GRIFFIN GA COMB PUB UTIL (01/01/27) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ LAWRENCEVILLE GA BLDG AUTH REV (04/01/27) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ MONROE CNTY GA DEV A POLLTN CTL REV GA PWR CO (07/01/25) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
PAULDING CNTY GA HOSP (04/01/26) [GS]					
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ PRIVATE CLLGS & UNIVS FAS AUTH GA REV AGNES SCOTT (06/01/28) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH AASU (12/01/20) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.500%					
Stifel ⇒ SAVANNAH GA ECON DEV AUTH REV RFDG ARMSTRONG (12/01/27) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ South State Corporation (SSB) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SPRINGFIELD GA WTR & SWR (09/01/26) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Stifel Bank and Trust [BA]		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ Treasury Cash Trust [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
The Savannah Bank [BA]		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Wells Fargo [BA]		\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Guardian Point [HN]		01/1/2018	P	\$500,001 - \$1,000,000	
Stifel ⇒ COBB CNTY GA WTR & S REV IMPT B/E [GS]		08/22/2018	P	\$50,001 - \$100,000	
DESCRIPTION: Due 07/01/19					
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [OT]		09/10/2018	P	\$15,001 - \$50,000	
LOCATION: US					
DESCRIPTION: Unit Investment Trust					

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Health South	Spouse Salary	N/A
Carter's Pharmacy	Spouse Salary	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Trustee	Young Harris College
COMMENTS: This is an unpaid position.	

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Alliance for Health Policy; The Commonwealth Fund	03/9/2018	03/11/2018	Dulles, VA - Warrenton, VA - Dulles, VA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Aspen Institute; Henry Luce Foundation; Democracy Fund; Rock	08/15/2018	08/19/2018	Seattle, WA - Vancouver, Canada - Savannah, GA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Mass Mutual 401(k)
- Morgan Stanley Unified Management Account
LOCATION: US
- Stifel
LOCATION: US

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Earl Leroy Carter , 08/13/2019