



Filing ID #10010276

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: 2015
Filing Date: 08/15/2016

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ameris Bank		\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Ameris Bank		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Bank of the Ozarks		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Carter's Pharmacy, Inc.	SP	\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Pharmacy					
First Chatham Bank CD		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Guardian Point Capital		\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the funds manager to determine this fund					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
qualifies as an Excepted Investment Fund (EIF).					
Mass Mutual 401(k) ⇒ Cash Held in Interest-Bearing Account		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ Comstock (Invesco)		\$1,000,001 - \$5,000,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ MM S&P 500 Index (Northern Trust)		\$250,001 - \$500,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ MM S&P Md Cp Indx (Nrtn Tr)		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ Whole Life Insurance Policy		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Life insurance policy held in 401(k) account.					
Morgan Stanley Active Assets Account ⇒ Alternative Investment Partners Absolute Return Fund		\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Select		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Strategic		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Tech		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Morgan Stanley Unified Managed Account		\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the asset's Financial Advisor to determine					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
this fund qualifies as Excepted Investment Fund (EIF).					
Nuveen Investments		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics to determine this fund qualifies as Excepted Investment Fund (EIF).					
Sea Island Bank		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ AGL Resources, Inc. (GAS)		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ ALBANY DOUGHERTY AUTH GA INNCR CITY REV BOND (7/1/34)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 4.500%					
Stifel ⇒ Ameris Bancorp (ABCB)		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ ATLANTA GA DEV AUTH REV TUFF (01/01/16)		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ ATLANTA GA DEV AUTH STDNT HSG (09/01/28)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Bank of America Corporation (BAC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ BIBB CNTY GA DEV AUTH (07/01/30)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ BLECKLEY DODGE CNTY GA JT DEV AUTH (07/01/37)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 5.125%					
Stifel ⇒ CAIRO GA COMB PUB UTIL (01/01/19)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLL CITY CNTY HOSP AUTH (07/01/27)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV STUDNT (09/01/18) DESCRIPTION: Interest Rate 4.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23) 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) 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) DESCRIPTION: Interest Rate 4.125%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA DEV STDNT REC (07/15/29) 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) DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA KENNESTONE (04/01/31) DESCRIPTION: Interest Rate 4.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CRISP CNTY GA DEV AUTH ENVMNTL IMPT (02/01/15)		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ DALTON GA DEV AUTH (08/15/25) DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST DOW TARGET DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒		\$15,001 - \$50,000	Capital Gains,	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
FIRST TRUST INT RATE HEDGE 95 MO RE			Dividends		
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST R BERN		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FT ENERGY INFRA FUND		None	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FULTON CNTY DEV AUTH REV TUFF (09/01/23)		\$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)		\$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)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.125%					
Stifel ⇒ GEORGIA ST SER A (02/01/29)		\$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)		\$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)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ NEWTON GA WTR		None	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Omnicare, Inc. (OCR)		None	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: Sold due to merger.					
Stifel ⇒ PAULDING CNTY GA HOSP (04/01/26)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ PRIVATE CLLGS & UNIVS AUTH GA RFDG EMORY UNIV (09/01/15)		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ PRIVATE CLLGS & UNIVS FAS AUTH GA REV AGNES SCOTT (06/01/28)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ RICHMOND GA DEV AUTH EDL		None	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH AASU (12/01/20)		\$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)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ SOUTH REGL JT DEV ATH GA (08/01/39)		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ South State Corporation (SSB)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ SPRINGFIELD GA WTR & SWR (09/01/26)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Stifel Bank and Trust		\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ Treasury Cash Trust		\$15,001 - \$50,000	Interest	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SunTrust Bank CD		None	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
The Savannah Bank		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Trader's Way Community Property		\$500,001 - \$1,000,000	Capital Gains	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Real property held for investment.					
Wells Fargo		\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
ALBANY DOUGHTERY AUTH GA INNER CITY REV BOND		03/11/2015	P	\$15,001 - \$50,000	
Stifel ⇒ AGL Resources, Inc. (GAS) DESCRIPTION: Interest Rate: 3.000%		09/4/2015	P	\$15,001 - \$50,000	
Stifel ⇒ Carroll City Cnty HO Auth GA Rev Antic (Due 07/01/27) DESCRIPTION: Interest Rate: 3.000%		08/14/2015	P	\$15,001 - \$50,000	
Stifel ⇒ FIRST TRUST INT RATE HEDGE 95 MO RE LOCATION: US DESCRIPTION: Unit Investment Trust		05/14/2015	P	\$15,001 - \$50,000	
Stifel ⇒ Lawrenceville GA Bld Auth Rev Lawrenceville (Due 04/01/27)		08/25/2015	P	\$15,001 - \$50,000	
Stifel ⇒ Omnicare, Inc. (OCR) COMMENTS: Sale resulted from merger. Did not become aware of transaction until completing 2016 Annual Financial Disclosure.		08/18/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Stifel ⇒ Savannah GA Econ Dev Auth Rev Rfdg Armstrong Ctr (Due 12/01/27)		09/10/2015	P	\$15,001 - \$50,000	
DESCRIPTION: Interest Rate: 3.000%					

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Memorial Health	Spouse Salary	N/A
Health South	Spouse Salary	N/A
Carter's Pharmacy, Inc.	Spouse Salary	N/A
General Assembly of Georgia	Salary	\$459.82
COMMENTS: This income has been refunded in consultation with the Committee on Ethics.		

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?
Center for Democracy in the Americas	05/27/2015	05/31/2015	Savannah, GA - Miami, FL - Havana, Cuba - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Florida Pharmacy Association	06/27/2015	06/28/2015	Pooler, GA - St. Augustine, FL - Pooler, GA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
American Israel Education Foundation	08/8/2015	08/16/2015	Savannah, GA - Tel Aviv, Israel - Jerusalem, Israel - Ramallah, West Bank - Savannah, GA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
North Carolina Pharmacists Association	11/1/2015	11/2/2015	Jacksonville, FL - Raleigh, NC - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Heritage Foundation	01/28/2015	01/30/2015	Washington, D.C. - Middleburg, VA - Washington, D.C.	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 Active Assets 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 , 08/15/2016