



Filing ID #10027374

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2017  
**Filing Date:** 05/23/2019

## 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]		\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Bank of the Ozarks [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<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, Sale	\$1,000,001 - \$5,000,000	<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 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	Capital Gains	\$50,001 - \$100,000	<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	Capital Gains, Dividends	\$100,001 - \$1,000,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HE]		\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Neuberger Berman Intl ADR [HE]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Sterling Capital Mgt Mid Val [HE]		\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [RE]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Winslow Large Cap Growth [HE]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<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 ⇒ BLECKLEY DODGE CNTY GA JT DEV AUTH (07/01/37) [GS]  DESCRIPTION: Interest Rate 5.125%		\$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 STUDNT (09/01/18) [GS]  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) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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"/>
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 ⇒ 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	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE [OT]  DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒		\$1,001 - \$15,000	Capital Gains,	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]			Dividends		
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE ETF [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$2,501 - \$5,000	<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	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ PAULDING CNTY GA HOSP (04/01/26) [GS]  DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
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]  DESCRIPTION: Interest Rate 4.500%		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH REV RFDG ARMSTRONG (12/01/27) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SOUTH REGL JT DEV ATH GA (08/01/39) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ South State Corporation (SSB) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SPRINGFIELD GA WTR & SWR (09/01/26) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
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"/>
Trader's Way Community Property [RP]  LOCATION: Pooler, GA, US DESCRIPTION: Capital gains resulting from sale of property.		None	Capital Gains	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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?
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC [EF]		10/18/2017	P	\$1,001 - \$15,000	
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		10/18/2017	P	\$1,001 - \$15,000	
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		10/18/2017	P	\$1,001 - \$15,000	
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE ETF [EF]		10/18/2017	P	\$1,001 - \$15,000	
Trader's Way [RP]		11/10/2017	S	\$1,000,001 - \$5,000,000	<input checked="" type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Real property held for investment.					

\* 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	N/A
Carter's Pharmacy	Spouse	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?
The Heritage Foundation	02/8/2018	02/10/2017	Washington, D.C. - New York, NY - Savannah, GA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Alliance for Health Reform, The Commonwealth Fund	03/3/2017	03/5/2017	Washington, D.C. - Warrenton, VA - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
American Pharmacy Cooperative, Inc.	03/25/2017	03/26/2017	San Francisco, CA - San Antonio, TX - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Innovatix	10/9/2017	10/10/2017	Savannah, GA - Austin, TX - 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

<ul style="list-style-type: none"> <li>Mass Mutual 401(k)</li> <li>Morgan Stanley Unified Management Account LOCATION: US</li> <li>Stifel LOCATION: US</li> </ul>
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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 , 05/23/2019