



Filing ID #10024309

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: 2016
Filing Date: 08/2/2018

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]	SP	\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest, Sale	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Pharmacy COMMENTS: A portion of the business was sold.					
First Chatham Bank CD [BA]		\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Guardian Point Capital [HE]		\$5,000,001 - \$25,000,000	Capital Gains, Dividends, Interest	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the fund manager to determine this fund qualifies as an Excepted Investment Fund (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]		\$250,001 - \$500,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual 401(k) ⇒ MM S&P Md Cp Indx (Nrtn Tr) [MF]		\$100,001 - \$250,000	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 Active Assets Account ⇒ Alternative Investment Partners Absolute Return Fund [HE]		\$250,001 - \$500,000	Capital Gains	\$50,001 - \$100,000	<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 [FU]		None	None		<input checked="" 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 [FU]		None	None		<input checked="" 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 [FU]		None	None		<input checked="" 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 [EF]		\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the asset's Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Nuveen Intermediate Duration Muni Bd I [MF]		\$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 [BA]		\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ AGL Resources, Inc. (GAS) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Sale of stock resulting from merger.					
Stifel ⇒ ALBANY DOUGHERTY AUTH GA INNCR CITY REV BOND (7/1/34) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.500%					
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]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Bank of America Corporation (BAC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Stifel ⇒ BIBB CNTY GA DEV AUTH (07/01/30) [GS]		\$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) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 5.125%					
Stifel ⇒ Cairo GA Comb Pub Util (1/1/19) [GS]		None	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COMMENTS: Bond was called					
Stifel ⇒ CARROLL CITY CNTY HOSP AUTH (07/01/27) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV STUDNT (09/01/18) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.000%					
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ CARROLLTON GA PAYROLL DEV REV ANTIC (06/15/23) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ COBB CNTY GA DEV AUTH STDNT HSG (07/15/29) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.125%					
Stifel ⇒ COBB CNTY GA DEV STDNT REC (07/15/29) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ COBB CNTY GA DEV STDNT REC ACTIVITY CTR (07/15/25) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ COBB CNTY GA KENNESTONE (04/01/31) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.000%					
Stifel ⇒ DALTON GA DEV AUTH (08/15/25) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ FIRST TRUST DOW TARGET [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INT RATE HEDGE 95 MO RE [OT]		\$1 - \$1,000	Capital Gains, Dividends, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST R BERN [OT]		None	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST RB ADVISORS QUAL INCM 22 [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT]		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input checked="" 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 ⇒		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
GEORGIA ST SER A (02/01/29) [GS]					
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 checked="" type="checkbox"/>
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ PAULDING CNTY GA HOSP (04/01/26) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
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 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	\$2,501 - \$5,000	<input type="checkbox"/>
Stifel ⇒ SPRINGFIELD GA WTR & SWR (09/01/26) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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	None	<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]		\$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 [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?
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Select [FU]		12/31/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Strategic [FU]		12/31/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Tech [FU]		12/31/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					
Stifel ⇒ AGL Resources, Inc. (GAS) [ST]		07/1/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST INT RATE HEDGE 95 MO RE [OT]		12/28/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: Unit Investment Trust					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 17 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust		09/7/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RB ADVISORS QUAL INCM 22 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust		09/2/2016	P	\$15,001 - \$50,000	
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust		09/16/2016	P	\$15,001 - \$50,000	
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust		12/28/2016	P	\$15,001 - \$50,000	
Stifel ⇒ MONROE CNTY GA DEV A POLLTN CTL REV GA PWR CO (Due 07/01/25) [GS] DESCRIPTION: Interest Rate: 2.000%		03/9/2016	P	\$15,001 - \$50,000	
Stifel ⇒ SUGAR HILL GA DWNTN AUTH REV EPICTR [GS] DESCRIPTION: Interest Rate: 2.500%		12/8/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Stifel ⇒ SUGAR HILL GA DWNTN AUTH REV EPICTR (Due 12/01/29) [GS] DESCRIPTION: Interest Rate: 2.500%		03/9/2016	P	\$15,001 - \$50,000	

* 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?
The Heritage Foundation	01/27/2016	01/29/2016	Washington, D.C. - Middleburg, VA - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Michigan Pharmacists Association	02/26/2016	02/28/2016	Washington, D.C. - Detroit, MI - Nashville, TN	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Tennessee Pharmacists Association	02/28/2016	02/29/2016	Nashville, TN - Nashville, TN - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
National Conference of Insurance Legislators	11/17/2016	11/18/2016	Washington, D.C. - Las Vegas, NV - Charlottesville, VA	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">Mass Mutual 401(k)Morgan Stanley Active Assets Account LOCATION: USStifel

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 , 08/2/2018