



Filing ID #10023014

# 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:** 2017  
**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]  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 Committee on Ethics counsel and the fund manager to determine this 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?
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]		\$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 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 Unified Managed Account [EF]		\$1,000,001 - \$5,000,000	Dividends	\$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 asset's Financial Advisor to determine this fund qualifies as Excepted Investment Fund (EIF).					
Nuveen Investments [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 ⇒ 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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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	\$1 - \$200	<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 ⇒ 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%					

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 ⇒ 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 ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
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]  DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$2,501 - \$5,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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"/>
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		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AGNES SCOTT (06/01/28) [GS]					
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	\$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"/>
Trader's Way Community Property [RP]		None	Capital Gains	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Capital gains resulting from sale of property.					
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 R BERN QUAL INCM 27 MO RE [OT]		11/16/2017	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: UNIT INVESTMENT TRUST					
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 Active Assets 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 , 08/2/2018