



Filing ID #10006848

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

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

FILING INFORMATION

Filing Type: New Filer Report
Filing Year: 2014
Filing Date: 07/24/2015
Period Covered: 01/01/2013– 12/31/2014

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ameris Bank		\$250,001 - \$500,000	Interest	Not Applicable	\$5,001 - \$15,000
Ameris Bank		\$500,001 - \$1,000,000	Interest	Not Applicable	\$5,001 - \$15,000
Bank of America		None	Interest	Not Applicable	\$1,001 - \$2,500
Bank of the Ozarks		\$100,001 - \$250,000	Interest	Not Applicable	\$201 - \$1,000
Carter's Pharmacy, Inc.	SP	\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest	Not Applicable	\$1,000,001 - \$5,000,000
LOCATION: Pooler, GA, US DESCRIPTION: Pharmacy					
First Chatham Bank CD		\$100,001 - \$250,000	Interest	Not Applicable	\$2,501 - \$5,000
Guardian Point Capital		\$1,000,001 -	Capital Gains,	Not Applicable	\$100,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with the Committee on Ethics counsel and the funds manager to determine this fund qualifies as an Excepted Investment Fund (EIF).		\$5,000,000	Dividends, Interest		\$1,000,000
	Mass Mutual 401(k) ⇒ Cash Held in Interest-Bearing Account	\$100,001 - \$250,000	Tax-Deferred		
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).	Mass Mutual 401(k) ⇒ Comstock (Invesco)	\$1,000,001 - \$5,000,000	Tax-Deferred		
	Mass Mutual 401(k) ⇒ MM S&P 500 Index (Northern Trust)	\$250,001 - \$500,000	Tax-Deferred		
DESCRIPTION: Life insurance policy held in 401(k) account.	Mass Mutual 401(k) ⇒ MM S&P Md Cp Indx (Nrtn Tr)	\$100,001 - \$250,000	Tax-Deferred		
	Mass Mutual 401(k) ⇒ Whole Life Insurance Policy	\$100,001 - \$250,000	Tax-Deferred		
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 ⇒ Alternative Investment Partners Absolute Return Fund	\$250,001 - \$500,000	Capital Gains	Not Applicable	\$15,001 - \$50,000
	Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Select	\$15,001 - \$50,000	Capital Gains	Not Applicable	\$2,501 - \$5,000
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	Capital Gains	Not Applicable	\$1 - \$200
	Morgan Stanley Active Assets Account ⇒ Morgan Stanley Spectrum Tech	\$15,001 - \$50,000	Capital Gains	Not Applicable	\$2,501 - \$5,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
qualifies as Excepted Investment Fund (EIF).					
Morgan Stanley Unified Managed Account		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	Not Applicable	\$100,001 - \$1,000,000
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).					
Nuveen Investments		\$50,001 - \$100,000	Dividends	Not Applicable	\$1,001 - \$2,500
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	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ Ameris Bancorp (ABCB)		\$500,001 - \$1,000,000	Dividends	Not Applicable	\$5,001 - \$15,000
Sterne Agee ⇒ ATLANTA GA DEV AUTH REV TUFF (01/01/16)		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ ATLANTA GA DEV AUTH STDNT HSG (09/01/28)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ Bank of America Corporation (BAC)		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Sterne Agee ⇒ BIBB CNTY GA DEV AUTH (07/01/30)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ BLECKLEY DODGE CNTY GA JT DEV AUTH (07/01/37)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ CAIRO GA COMB PUB UTIL (01/01/19)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ CARROLLTON GA PAYROLL DEV AUTH REV STUDNT (09/01/18)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Sterne Agee ⇒ CARROLLTON GA PAYROLL DEV REV ANTIC (06/15/23)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ COBB CNTY GA DEV AUTH STDNT HSG (07/15/29)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ COBB CNTY GA DEV STDNT REC (07/15/29)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ COBB CNTY GA DEV STDNT REC ACTIVITY CTR (07/15/25)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ COBB CNTY GA KENNESTONE (04/01/31)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ CRISP CNTY GA DEV AUTH ENVMNTL IMPT (02/01/15)		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ DALTON GA DEV AUTH (08/15/25)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ FIRST TRUST DOW TARGET DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Sterne Agee ⇒ FIRST TRUST INTEREST RT HEDGE DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
Sterne Agee ⇒ FIRST TRUST R BERN DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ FLOYD CNTY GA HOSP AUTH (07/01/15)		\$1,001 - \$15,000	Interest	Not Applicable	\$1 - \$200
Sterne Agee ⇒ FT ENERGY INFRA FUND DESCRIPTION: Unit Investment Trust		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Sterne Agee ⇒ FULTON CNTY DEV AUTH REV TUFF (09/01/23)		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ FULTON CNTY GA DEV AUTH REV RFDG (05/01/26)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ GA ST SER A (02/01/29)		\$15,001 - \$50,000	None		
Sterne Agee ⇒ GEORGIA ST HSG & FIN AUTH (12/10/27)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ GRIFFIN GA COMB PUB UTIL (01/01/27)		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ NEWTON GA WTR		None	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ OCONEE CNTY GA IDA REV (07/01/23)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ Omnicare, Inc. (OCR)		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Sterne Agee ⇒ PAULDING CNTY GA HOSP (04/01/26)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ PRIVATE CLLGS & UNIVS AUTH GA RFDG EMORY UNIV (09/01/15)		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ PRIVATE CLLGS & UNIVS FAS AUTH GA REV AGNES SCOTT (06/01/28)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ RICHMOND GA DEV AUTH EDL		None	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ SAVANNAH GA ECON DEV AUTH AASU (12/01/20)		\$1,001 - \$15,000	Interest	Not Applicable	\$1 - \$200
Sterne Agee ⇒		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
SOUTH REGL JT DEV ATH GA (o8/o1/39)					
Sterne Agee ⇒ South State Corporation (SSB)		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Sterne Agee ⇒ SPRINGFIELD GA WTR & SWR (o9/o1/26)		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Sterne Agee ⇒ Sterne Agee Insured / Deposit Program		\$50,001 - \$100,000	Interest	Not Applicable	\$1 - \$200
Sterne Agee ⇒ Treasury Cash Trust		\$15,001 - \$50,000	Interest	Not Applicable	None
SunTrust Bank CD		None	Interest	Not Applicable	\$1,001 - \$2,500
The Savannah Bank		\$250,001 - \$500,000	Interest	Not Applicable	\$1,001 - \$2,500
Trader's Way Community Property		\$500,001 - \$1,000,000	None		
LOCATION: Pooler, GA, US DESCRIPTION: Real property held for investment.					
Wells Fargo		\$250,001 - \$500,000	Interest	Not Applicable	\$201 - \$1,000

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Georgia General Assembly	Salary	N/A	\$17,342
Carter's Pharmacy, Inc.	Salary	N/A	\$256,952
Omnicare	Salary	N/A	\$29,480
Memorial Health	Spouse Salary	N/A	N/A
Carter's Pharmacy, Inc.	Spouse Salary	N/A	N/A
The Coastal Bank	Director's Fees	N/A	\$4,500

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 J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- Mass Mutual 401(k)
- Morgan Stanley Active Assets Account
LOCATION: US
- Sterne Agee
LOCATION: US

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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 , 07/24/2015