



Filing ID #10015362

# 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:** Annual Report  
**Filing Year:** 2016  
**Filing Date:** 05/9/2017

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ameris Bank		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Ameris Bank		\$1,000,001 - \$5,000,000	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, 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		\$250,001 - \$500,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Guardian Point Capital		\$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		\$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	\$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		\$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	\$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 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)		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)		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.500%					
Stifel ⇒ Ameris Bancorp (ABCB)		\$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)		\$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	Capital Gains, Dividends	\$5,001 - \$15,000	<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 (1/1/19)		None	None		<input type="checkbox"/>
COMMENTS: Bond was called					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ <b>CARROLL CITY CNTY HOSP AUTH (07/01/27)</b> DESCRIPTION: Interest Rate 3.000%`		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>CARROLLTON GA PAYROLL DEV AUTH REV STUDNT (09/01/18)</b> DESCRIPTION: Interest Rate 4.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23)</b> DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>CARROLLTON GA PAYROLL DEV REV ANTIC (06/15/23)</b> DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>COBB CNTY GA DEV AUTH STDNT HSG (07/15/29)</b> DESCRIPTION: Interest Rate 4.125%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>COBB CNTY GA DEV STDNT REC (07/15/29)</b> DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>COBB CNTY GA DEV STDNT REC ACTIVITY CTR (07/15/25)</b> DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>COBB CNTY GA KENNESTONE (04/01/31)</b> DESCRIPTION: Interest Rate 4.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>DALTON GA DEV AUTH (08/15/25)</b> DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ <b>FIRST TRUST DOW TARGET</b> DESCRIPTION: Unit Investment Trust		\$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?
Stifel ⇒ FIRST TRUST INT RATE HEDGE 95 MO RE		\$1 - \$1,000	Capital Gains, Dividends, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE		\$15,001 - \$50,000	Capital Gains, Dividends, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST R BERN		None	Capital Gains, Dividends, Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST RB ADVISORS QUAL INCM 22		\$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		\$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		\$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)		\$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%					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ GRIFFIN GA COMB PUB UTIL (01/01/27)  DESCRIPTION: Interest Rate 3.000%		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ LAWRENCEVILLE GA BLDG AUTH REV (04/01/27)  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ MONROE CNTY GA DEV A POLLTN CTL REV GA PWR CO (07/01/25)		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23)  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)  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)		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH AASU (12/01/20)  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)  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)		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ South State Corporation (SSB)		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Stifel ⇒ SPRINGFIELD GA WTR & SWR (09/01/26)  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒		\$100,001 -	Interest	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel Bank and Trust		\$250,000			
Stifel ⇒ Treasury Cash Trust		\$15,001 - \$50,000	Interest	None	<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?
Stifel ⇒ AGL Resources, Inc. (GAS)		07/1/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST INT RATE HEDGE 95 MO RE		12/28/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 17		09/7/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST RB ADVISORS QUAL INCM 22		09/2/2016	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16		09/16/2016	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Unit Investment Trust					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16  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)  DESCRIPTION: Interest Rate: 2.000%		03/9/2016	P	\$15,001 - \$50,000	
Stifel ⇒ SUGAR HILL GA DWNTN AUTH REV EPICTR		12/8/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Stifel ⇒ SUGAR HILL GA DWNTN AUTH REV EPICTR (Due 12/01/29)  DESCRIPTION: Interest Rate: 2.500%		03/9/2016	P	\$15,001 - \$50,000	

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

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

- o Mass Mutual 401(k)
- o Morgan Stanley Active Assets Account  
LOCATION: US
- o 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 , 05/9/2017