



Filing ID #10040367

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: 2020
Filing Date: 08/5/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ameris Bank [BA]		\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Bank of the Ozarks [BA]		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Carter's Pharmacy, Inc. [OL]	SP	None	Capital Gains, Dividends, Interest, Sale	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Pooler, GA, US DESCRIPTION: Pharmacy					
Guardian Point Capital [HE]		\$5,000,001 - \$25,000,000	Capital Gains, Dividends, Interest	\$100,001 - \$1,000,000	<input type="checkbox"/>
DESCRIPTION: EIF COMMENTS: The Office of Congressman Carter consulted with 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) ⇒		\$1,000,001 -	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Comstock (Invesco) [MF]		\$5,000,000			
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]		\$250,001 - \$500,000	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	\$15,001 - \$50,000	<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	\$15,001 - \$50,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HE]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<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]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [RE]		\$100,001 - \$250,000	None		<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).					
South State Bank [BA]		\$250,001 - \$500,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ ALBANY DOUGHERTY AUTH GA INNCR CITY REV		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
BOND (7/1/34) [GS]					
DESCRIPTION: Interest Rate 4.500%					
Stifel ⇒ Ameris Bancorp (ABCB) [ST]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Stifel ⇒ ATLANTA GA DEV AUTH STDNT HSG (09/01/28) [GS]		\$15,001 - \$50,000	Capital Gains, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ AUGUSTA GA WTR & SWR RFDG & IMPT 2ND RESOLUTN [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ Bank of America Corporation (BAC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ BIBB CNTY GA DEV AUTH (07/01/30) [GS]		\$15,001 - \$50,000	Capital Gains, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ BULLOCH CNTY GA DEV RFDG GA STHRN UNIV HSG FNDTN (Due 08/01/25) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.150%					
Stifel ⇒ Bulloch County Ga Dev Stdnt Housing [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ CARROLL CITY CNTY HOSP AUTH (07/01/27) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
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)		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
[GS]					
DESCRIPTION: Interest Rate 4.125%					
Stifel ⇒ COBB CNTY GA DEV STDNT REC (07/15/29) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<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	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ COBB CNTY GA KENNESTONE (04/01/31) [GS]		\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 4.000%					
Stifel ⇒ DALTON GA DEV AUTH (08/15/25) [GS]		\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ FIRST TRUST DOW TARGET [OT]		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INTERST RT HEDGE [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ FIRST TRUST STIFEL BEST PCK JAN 2020 MO RE [OT] DESCRIPTION: UIT		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT] DESCRIPTION: UNIT INVESTMENT TRUST		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE [EF]		None	Interest	\$1 - \$200	<input checked="" type="checkbox"/>
Stifel ⇒ FULTON CNTY DEV AUTH REV TUFF (09/01/23) [GS] DESCRIPTION: Interest Rate 3.750%		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FULTON CNTY GA DEV AUTH REV RFDG (05/01/26) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FULTON CNTY GA WTR & SWR REV [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Stifel ⇒ GEORGIA ST HSG & FIN AUTH (12/10/27) [GS] DESCRIPTION: Interest Rate 3.125%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ GEORGIA ST SER A (02/01/29) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ GRIFFIN GA COMB PUB UTIL (01/01/27) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Capital Gains, Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ JP Morgan Chase [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ LAWRENCEVILLE GA BLDG AUTH REV (04/01/27) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒		\$15,001 - \$50,000	Interest	\$1,001 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
LAWRENCEVILLE GA BLDG AUTH REV PERFORMING ARTS CMPLX (Due 10/01/37) [GS]				\$2,500	
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Marietta GA Dev Auth [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input checked="" type="checkbox"/>
Stifel ⇒ Metro Atlanta Rapid Auth (07/01/36) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Metropolitan Atlanta Rapid Tran Auth (07/01/28) [GS]		\$15,001 - \$50,000	Capital Gains, Interest	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Interest rate 3.000%					
Stifel ⇒ Metropolitan Atlanta Rapid Trans Sales Tax Rev [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest rate 3.000%					
Stifel ⇒ MILTON GA PUB BLDGS FACS AUTH REV B/E (12/01/37) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 2.500%					
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	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.250%					
Stifel ⇒ PRIVATE CLLGS & UNIV REV SAVANNAH CLLG ART & DSGN [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH REV RFDG ARMSTRONG (12/01/27) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ South State Corporation (SSB) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ Stifel Bank and Trust [BA]		\$50,001 - \$100,000	Interest	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Synovus [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?
Carter's Pharmacy, 100% Interest [OL] LOCATION: Pooler, GA, US DESCRIPTION: Sale of spouse-owned business.	SP	12/30/2020	S	\$500,001 - \$1,000,000	<input checked="" type="checkbox"/>
Stifel ⇒ AUGUSTA GA WTR & SWR RFDG & IMPT 2ND RESOLUTN [GS] DESCRIPTION: DUE 10/1/31		08/28/2020	P	\$1,001 - \$15,000	
Stifel ⇒ BULLOCH CNTY GA DEV STDNT HSDG REV RFDG GA STHRN UNIV [GS]		07/30/2020	P	\$15,001 - \$50,000	
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE [OT] LOCATION: US DESCRIPTION: UNIT INVESTMENT TRUST		05/13/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [OT] LOCATION: US DESCRIPTION: UNIT INVESTMENT TRUST		05/13/2021	S	\$15,001 - \$50,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Stifel ⇒ First Trust Riverfront Dynamic Europe [EF]		05/13/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST STIFEL BEST PCK JAN 2020 MO RE [OT] LOCATION: US		01/28/2020	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DESCRIPTION: UIT					
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT]		01/27/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: UNIT INVESTMENT TRUST					
Stifel ⇒ FULTON CNTY GA WTR & SWR REV [GS]		06/25/2020	P	\$15,001 - \$50,000	
Stifel ⇒ MARIETTA GA DEV AUTH RFDG SPSU STDNT HSG [GS]		05/13/2020	P	\$15,001 - \$50,000	
DESCRIPTION: Due 6/15/24					
Stifel ⇒ PRIVATE CLLGS & UNIV REV SAVANNAH CLLG ART & DSGN [GS]		05/13/2020	P	\$15,001 - \$50,000	
DESCRIPTION: DUE 4/01/35					

* 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
Carter's Pharmacy	Spouse Salary	N/A
Health South	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?
International Conservation Caucus Foundation	01/31/2020	02/2/2020	Pooler, GA - Yulee, FL - Pooler, GA	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Mass Mutual 401(k)
- Morgan Stanley Unified Management Account
LOCATION: US
- 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 , 08/5/2021