



Filing ID #10035465

# 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:** 2019  
**Filing Date:** 08/3/2020

## 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	\$1,000,001 - \$5,000,000	Capital Gains, Dividends, Interest	\$15,001 - \$50,000	<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			<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 (Nrrtn 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 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	\$100,001 - \$1,000,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HE]		\$250,001 - \$500,000	Capital Gains, Interest	\$50,001 - \$100,000	<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]		\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [RE]		\$100,001 - \$250,000	Capital Gains, Interest	\$50,001 - \$100,000	<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 INNCER 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 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 ⇒ BULLOCH CNTY GA DEV RFDG GA STHRN UNIV HSG FNFTN (Due 08/01/25) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.150%					
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 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 ⇒		\$15,001 - \$50,000	Interest	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COBB CNTY GA DEV STDNT REC (07/15/29) [GS]				\$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 ⇒ COBB CNTY GA WTR & SWR (7/1/19) [GS]		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
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	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST INTEREST RT HEDGE [OT]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [OT]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: UNIT INVESTMENT TRUST					
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE ETF [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ FIRST TRUST SABRENT BAKR DOZN 8/16 [OT]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
DESCRIPTION: Unit Investment Trust					
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<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 RFDG SER B/E (Due 7/01/20) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 5.000%					
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 ⇒ LAWRENCEVILLE GA BLDG AUTH REV PERFORMING ARTS CMPLX (Due 10/01/37) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Metro Atlanta Rapid Auth (07/01/36) [GS]		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ Metropolitan Atlanta Rapid Tran Auth (07/01/28) [GS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input checked="" 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 checked="" 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	\$201 - \$1,000	<input checked="" type="checkbox"/>
DESCRIPTION: Interest Rate 2.500%					
Stifel ⇒ MONROE CNTY GA DEV A POLLTN CTL REV GA PWR CO (07/01/25) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23) [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<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 State Corporation (SSB) [ST]		\$1,001 - \$15,000	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	\$1 - \$200	<input type="checkbox"/>
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?
Stifel ⇒ BULLOCH CNTY GA DEV RFDG GA STHRN UNIV HSG FNNDTN (Due 08/01/25) [GS]		08/2/2019	P	\$15,001 - \$50,000	
Stifel ⇒ GEORGIA ST RFDG SER B/E (Due 7/01/20) [GS]		08/30/2019	P	\$15,001 - \$50,000	
Stifel ⇒ LAWRENCEVILLE GA BLDG AUTH REV PERFORMING ARTS CMPLX (Due 10/01/37) [GS]		08/2/2019	P	\$15,001 - \$50,000	
Stifel ⇒ Metro Atlanta Rapid Auth (07/01/36) [GS]		05/9/2019	P	\$15,001 - \$50,000	
Stifel ⇒ Metropolitan Atlanta Rapid Tran Auth (07/01/28) [GS]		05/9/2019	P	\$1,001 - \$15,000	
Stifel ⇒ Metropolitan Atlanta Rapid Tran Sales Tax Rev [GS]		07/2/2019	P	\$15,001 - \$50,000	
Stifel ⇒ MILTON GA PUB BLDGS FACS AUTH REV B/E (12/01/37) [GS]		10/23/2019	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**

<b>Source</b>	<b>Type</b>	<b>Amount</b>
Carter's Pharmacy	Spouse Salary	N/A
Health South	Spouse Salary	N/A

**SCHEDULE D: LIABILITIES**

None disclosed.

**SCHEDULE E: POSITIONS**

<b>Position</b>	<b>Name of Organization</b>
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**

<b>Source</b>	<b>Trip Details</b>				<b>Inclusions</b>		
	<b>Start Date</b>	<b>End Date</b>	<b>Itinerary</b>	<b>Days at Own Exp.</b>	<b>Lodging?</b>	<b>Food?</b>	<b>Family?</b>
Humpty Dumpty Institute; Chamber of Commerce and Industry (V)	04/4/2019	04/8/2019	Washington, D.C. - Antwerp, Belgium - Washington, D.C.	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
U.S. Association of Former Members of Congress; Sasakawa Pea	02/16/2029	02/23/2019	Washington, D.C. - Tokyo, Japan - Sendai, Japan - 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**

- 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 , 08/3/2020