



Filing ID #10049323

# 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:** 2021  
**Filing Date:** 06/14/2022

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ameris Bank [BA]		\$1,000,001 - \$5,000,000	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"/>
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) ⇒ 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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Mass Mutual 401(k) ⇒ Whole Life Insurance Policy [OT]		\$500,001 - \$1,000,000	Tax-Deferred		<input type="checkbox"/>
DESCRIPTION: Life insurance policy held in 401(k) account.					
Morgan Stanley Unified Management Account ⇒ Eaton Vance Large Value [HE]		\$500,001 - \$1,000,000	Capital Gains	\$100,001 - \$1,000,000	<input checked="" 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 checked="" type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [RE]		\$100,001 - \$250,000	Capital Gains	\$100,001 - \$1,000,000	<input checked="" 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 checked="" 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 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	\$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	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: Interest Rate 3.000%					
Stifel ⇒ AUGUSTA GA WTR & SWR RFDG & IMPT 2ND		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
RESOLUTN [GS]					
Stifel ⇒ Bank of America Corporation (BAC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ BIBB CNTY GA DEV AUTH (07/01/30) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Capital Gains, Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Stifel ⇒ BULLOCH CNTY GA DEV RFDG GA STHRN UNIV HSG FNDTN (Due 08/01/25) [GS] DESCRIPTION: Interest Rate 3.150%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ Bulloch County Ga Dev Stdnt Housing [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLL CITY CNTY HOSP AUTH (07/01/27) [GS] DESCRIPTION: Interest Rate 3.000%`		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ CARROLLTON GA PAYROLL DEV AUTH REV UWG (06/15/23) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ CARROLLTON GA PAYROLL DEV REV ANTIC (06/15/23) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA DEV AUTH STDNT HSG (07/15/29) [GS] DESCRIPTION: Interest Rate 4.125%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ COBB CNTY GA DEV STDNT REC (07/15/29) [GS] DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<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	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒		\$15,001 - \$50,000	Interest	\$2,501 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COBB CNTY GA KENNESTONE (04/01/31) [GS] DESCRIPTION: Interest Rate 4.000%				\$5,000	<input type="checkbox"/>
Stifel ⇒ DALTON GA DEV AUTH (08/15/25) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST DOW TARGET [OT] DESCRIPTION: Unit Investment Trust		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST INTERST RT HEDGE [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST R BERN QUAL INCM 27 MO RE [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC ASIA PACIFIC ETF [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC DEVELOPED INTL ETF [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EMERGING MARKETS ETF [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT] DESCRIPTION: Unit Investment Trust		\$15,001 - \$50,000	None		<input type="checkbox"/>
Stifel ⇒ FIRST TRUST STIFEL BEST PCK JAN 2021 MO RE [OT] DESCRIPTION: UIT		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST STIFEL BEST PICKS 12/16 [OT] DESCRIPTION: UNIT INVESTMENT TRUST		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒ FIRST TRUST RIVERFRONT DYNAMIC EUROPE [EF]		None	Interest	\$1 - \$200	<input type="checkbox"/>
Stifel ⇒		\$1,001 - \$15,000	Interest	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
FULTON CNTY DEV AUTH REV TUFF (09/01/23) [GS] DESCRIPTION: Interest Rate 3.750%					
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 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 ⇒ LAWRENCEVILLE GA BLDG AUTH REV PERFORMING ARTS CMPLX (Due 10/01/37) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ Marietta GA Dev Auth [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ Metro Atlanta Rapid Auth (07/01/36) [GS] DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ Metropolitan Atlanta Rapid Tran Auth (07/01/28) [GS] DESCRIPTION: Interest rate 3.000%		\$15,001 - \$50,000	Capital Gains, Interest	\$5,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stifel ⇒ Metropolitan Atlanta Rapid Trans Sales Tax Rev [GS]  DESCRIPTION: Interest rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ MILTON GA PUB BLDGS FACS AUTH REV B/E (12/01/37) [GS]  DESCRIPTION: Interest Rate 2.500%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ OCONEE CNTY GA IDA REV (07/01/23) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ PAULDING CNTY GA HOSP (04/01/26) [GS]  DESCRIPTION: Interest Rate 3.250%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
Stifel ⇒ PRIVATE CLLGS & UNIV REV SAVANNAH CLLG ART & DSGN [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Stifel ⇒ SAVANNAH GA ECON DEV AUTH REV RFDG ARMSTRONG (12/01/27) [GS]  DESCRIPTION: Interest Rate 3.000%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>
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"/>
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?
Morgan Stanley Unified Management Account ⇒ Eaton Vance Large Value [HN]		12/28/2021	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HN]		12/28/2021	P	\$15,001 - \$50,000	
Morgan Stanley Unified Management Account ⇒ Neuberger Berman Intl ADR [HN]		12/28/2021	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Sterling Capital Mgt Mid Val [HN]		12/28/2021	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Morgan Stanley Unified Management Account ⇒ Uniplan Investment Equity REIT [OT]		12/28/2021	S	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
LOCATION: US DESCRIPTION: REIT					
Morgan Stanley Unified Management Account ⇒ Winslow Large Cap Growth [HN]		12/28/2021	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Stifel ⇒ First Trust Stifel Best Picks Jan 21 [OT]		02/9/2021	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Unit Investment Trust					

\* 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 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?
Aspen Institute	09/9/2021	09/12/2021	Savannah, GA - San Diego, CA - Savannah, GA	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 Unified Management 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 , 06/14/2022