



Filing ID #10052875

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: 2022
Filing Date: 07/19/2023

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] | | None | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Guardian Point Capital [HE] | | \$5,000,001 - \$25,000,000 | Capital Gains, Dividends, Interest | None | <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] DESCRIPTION: Life insurance policy held in 401(k) account. | | \$500,001 - \$1,000,000 | Tax-Deferred | | <input type="checkbox"/> |
| Morgan Stanley Unified Management Account ⇒ Eaton Vance Large Value [HE] | | \$500,001 - \$1,000,000 | None | | <input type="checkbox"/> |
| Morgan Stanley Unified Management Account ⇒ Kayne Anderson Sm Quality Val [HE] | | \$250,001 - \$500,000 | None | | <input type="checkbox"/> |
| Morgan Stanley Unified Management Account ⇒ Neuberger Berman Intl ADR [HE] | | \$500,001 - \$1,000,000 | None | | <input type="checkbox"/> |
| Morgan Stanley Unified Management Account ⇒ Sterling Capital Mgt Mid Val [HE] | | \$250,001 - \$500,000 | None | | <input type="checkbox"/> |
| Morgan Stanley Unified Management Account ⇒ Winslow Large Cap Growth [HE] | | \$500,001 - \$1,000,000 | None | | <input type="checkbox"/> |
| Nuveen Intermediate Duration Muni Bd 1 [MF] DESCRIPTION: The Office of Congressman Carter consulted with the Committee on Ethics to determine this fund qualifies as Excepted Investment Fund (EIF). | | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| South State Bank [BA] | | \$250,001 - \$500,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Stifel ⇒ ALBANY DOUGHERTY AUTH GA INNCR CITY REV BOND (7/1/34) [GS] DESCRIPTION: Interest Rate 4.500% | | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| 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] DESCRIPTION: Interest Rate 3.000% | | \$15,001 - \$50,000 | Capital Gains, Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stifel ⇒ AUGUSTA GA WTR & SWR RFDG & IMPT 2ND RESOLUTN [GS] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Stifel ⇒ | | \$1,001 - \$15,000 | Capital Gains, | \$201 - | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|----------------------------|-------------------|-------------------------------------|
| Bank of America Corporation (BAC) [ST] | | | Dividends | \$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 KENNESTONE (04/01/31) [GS] DESCRIPTION: Interest Rate 4.000% | | \$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 Sabrient Baker Doz 1Q22 [OT] DESCRIPTION: Unit Investment Trust | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Stifel ⇒ | | None | None | | <input checked="" type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|-------------------------|--------------------|-------------------------------------|
| FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT] DESCRIPTION: Unit Investment Trust | | | | | |
| Stifel ⇒ FIRST TRUST STIFEL BEST PCK JAN 2021 MO RE [OT] DESCRIPTION: UIT | | None | Interest | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Stifel ⇒ First Trust Stifel Picks Jan 2022 [OT] DESCRIPTION: Unit Investment Trust | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input checked="" 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 ⇒ 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 | \$201 - \$1,000 | <input type="checkbox"/> |
| Stifel ⇒ JP Morgan Chase [BA] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Stifel ⇒ LAWRENCEVILLE GA BLDG AUTH REV PERFORMING ARTS CMLX (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 ⇒ 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 ⇒ 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"/> |
| Stifel ⇒ Stifel Smart Rate [BA] | | \$250,001 - \$500,000 | Interest | \$2,501 - \$5,000 | <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 ⇒ First Trust Baker Doz 1Q22 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust | | 01/21/2022 | P | \$15,001 - \$50,000 | |
| Stifel ⇒ FIRST TRUST SABRIENT BAKR DOZN 8/16 [OT] LOCATION: US DESCRIPTION: Unit Investment Trust | | 01/24/2022 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Stifel ⇒ | | 02/15/2022 | S | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|---------------------|
| FIRST TRUST STIFEL BEST PCK JAN 2021 MO RE [OT] | | | | | |
| LOCATION: US | | | | | |
| DESCRIPTION: Unit Investment Trust | | | | | |
| Stifel ⇒ First Trust Stifel Picks Jan 2022 [OT] | | 02/14/2022 | 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 |
|-----------|---------------|--------|
| Encompass | 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

None disclosed.

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 , 07/19/2023