

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Carter, Austin E.	2. Court or Organization U.S. Bankruptcy Court, Middle District of Georgia	3. Date of Report 11/14/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 433 Cherry Street, First Floor Macon, GA 31201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Secretary and Retirement Plan Trustee	M. Gary Carter, M.D., P.A.
2. Member, Board of Directors	Vine Ingle Little League
3. Member, Board of Trustees	Mulberry Street United Methodist Church
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2006	SunTrust Bank Retirement Plan (spouse); former employer of spouse; employment ended in 2006 [no distributions until 2039]
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1. 2016

Mulberry Street United Methodist Church

2.

3.

4.

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Institute of Continuing Legal
Education in Georgia09/29/2016 to
09/30/2016

Greensboro, GA

Bankruptcy CLE

Hotel, meals

2.

3.

4.

5.

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Cash Accounts; State Bank & Trust	A	Interest	K	T					
2. Brokerage Account (IRA)									
3. - Pepsico common stock	A	Dividend	J	T					
4. - First Trust Sabrient Bakers Dozen Port 2015 Series Term 02/19/2016	A	Dividend			Sold	02/18/16	J		
5. - First Trust Sabrient Bakers Dozen Port 2016 Series Term 02/24/17	A	Dividend	J	T	Buy	02/24/16	J		
6. - Guggenheim S&P 500 Equal Weight ETF	A	Dividend	J	T					
7. - Weyerhaeuser Co. (formerly Plum Creek Timber Co.)	A	Dividend	J	T					
8. - Raymond James Bank, N.A.	A	Interest	J	T					
9. Vanguard Equity Income Fund (IRA)	D	Dividend	M	T					
10. Dodge & Cox International Stock Fund (IRA)	A	Dividend	J	T					
11. Franklin Mutual Beacon Fund (IRA)	A	Dividend	K	T					
12. SunTrust Bank 401(k) Account									
13. - Vanguard Russell 2000 Value Index Fund	A	Dividend	J	T					
14. - Vanguard Total Bond Market Index Fund	A	Dividend	J	T					
15. - Vanguard Inflation Protected Securities Fund	A	Dividend	J	T					
16. - Vanguard Target Retirement 2040 Fund	A	Dividend	K	T					
17. Northwestern Mutual Whole Life Policy (Y)									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Mass Mutual Whole Life Policy	A	Dividend	J	T					
19. Mass Mutual Whole Life Policy	A	Dividend	J	T					
20. OneAmerica (State Life) Whole Life Policy (1/3 ownership)	A	Dividend	J	T					
21. Mass Mutual Whole Life Policy (1/4 ownership)	A	Dividend	L	T					
22. Mass Mutual Whole Life Policy (1/3 ownership)	A	Dividend	M	T					
23. Vanguard 529 College Savings Plan (Nevada) Conservative Growth Portf	E	Int./Div.	J	T					
24. Vanguard 529 College Savings Plan (Nevada) Value Index Portfolio	E	Int./Div.	J	T					
25. Vanguard 529 College Savings Plan (Nevada) Aggressive Growth Portfolio	E	Int./Div.	J	T					
26. Taverna Buckhead, LP		None	K	U	Buy	07/15/16	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Lines 17: This insurance policy was closed/surrendered in 2014, as reported on my 2014 Financial Disclosure Report. This policy was inadvertently included on my original 2015 report (which has since been amended).

Part VII, Line 20: On my original 2015 report (which has since been amended), I inadvertently did not include that the ownership interest is 1/3 of this life insurance policy.

Part VII: For the Vanguard 529 Savings Plans (Nevada)-- These assets were purchased for the benefit of [REDACTED]. It is my understanding that I must report the assets held. The only option for these plans was the growth option strategy selected by the purchaser.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Austin E. Carter

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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