

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Carnes, Edward E.	2. Court or Organization 11th Circuit Court of Appeals	3. Date of Report 03/18/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse One Church Street Montgomery, AL 36104		
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.	Co-executor of estate	Estate 1
2.	Co-trustee of trust	Trust 1
3.		
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.	2010	State of Alabama Defined Benefit Pension Plan
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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. 2018	State of Alabama - Retirement Income	\$30,105.08
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.	
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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. Regions Bank (cash)	A	Interest	L	T					
2. Synovus Bank (cash)	A	Interest	M	T					
3. RSA-1 Deferred Compensation Account (State of Alabama)	C	Interest	M	T					
4. PEIRAF Deductible Emp. Contributions (State of Alabama)	C	Interest	M	T					
5. IRA #1 (H)									
6. Vanguard Prime Money Market Fund (VMMXX)	B	Dividend	L	T					
7. BROKERAGE #1 (H)									
8. Vanguard Federal Money Market Fund (VMFXX) (cash) (X)	B	Interest	O	T					
9. Vanguard Prime Money Market Fund (VMMXX)	A	Dividend	M	T					
10. Vanguard Health Care Mutual Fund (VGHAX)	C	Dividend	L	T					
11. Vanguard S&P 500 Index ETF (VOO)	A	Dividend			Sold	12/28/18	L	E	
12. TRUST #1 (H)									
13. Vanguard Prime Money Investor CL (VMMXX)	B	Dividend	L	T					
14. Vanguard Healthcare Investor (VGHGX)	B	Dividend	K	T					
15. Vanguard Growth & Income Admiral (VGIAX)	D	Dividend	M	T					
16. Vanguard Limited Term Tax Exempt Investor (VMLTX)	A	Dividend	K	T					
17. Vanguard Global Minimum Volatility Admiral (VMNVX)	D	Dividend	M	T					

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 = \$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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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)

18. Vanguard Morgan Growth Admiral (VMRAX)	D	Dividend	M	T					
19. Vanguard Short Term Corp Bond Index (VSCSX)	A	Dividend	K	T					
20. Vanguard US Growth Admiral (VWUAX)	D	Dividend	M	T					
21. ESTATE #1 (H)									
22. Wells Fargo Money Market (cash account)	A	Interest	J	T					
23. American Electric Power Inc (AEP)	A	Dividend	J	T					
24. AT&T Inc (T)	A	Dividend	J	T					
25. BCE Inc (BCE)	A	Dividend	J	T					
26. BP Plc Spons ADR (BP)	A	Dividend	J	T					
27. Bristol Myers Squibb Co (BMYU)	A	Dividend	J	T					
28. Chevron Corporation (CVX)	A	Dividend	J	T					
29. Coca-Cola Company (KO)	A	Dividend	J	T					
30. ConocoPhillips (COP)	A	Dividend	J	T					
31. Dominion Energy Inc (D)	A	Dividend	J	T					
32. Duke Energy Corp Com New (DUK)	A	Dividend	J	T					
33. Eli Lilly & Co (LLY)	A	Dividend	J	T					
34. Glaxosmithkline PLC-ADR (GSK)	A	Dividend	J	T					

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 = \$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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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)

35. HCP Inc (HCP)	A	Dividend	J	T					
36. Johnson & Johnson (JNJ)	A	Dividend	J	T					
37. Kimberly-Clark Corp (KMB)	A	Dividend	J	T					
38. Kraft Heinz Co. (KHC)	A	Dividend	J	T					
39. McDonalds Corp (MCD)	A	Dividend	J	T					
40. Merck & Co Inc New (MRK)	A	Dividend	J	T					
41. National Grid Plc Spon ADR New (NGG)	A	Dividend	J	T					
42. Pepsico Incorporated (PEP)	A	Dividend	J	T					
43. PPL Corporation (PPL)	A	Dividend	J	T					
44. Procter & Gamble Co (PG)	A	Dividend	J	T					
45. Realty Income Corp Reit (O)	A	Dividend	J	T					
46. Royal Dutch Shell PLC (RDS/B)	A	Dividend	J	T					
47. Senior Housing Prop TR Reit (SNH)	A	Dividend	J	T					
48. The Southern Company (SO)	A	Dividend	J	T					
49. Total S.A. Spons ADR (TOT)	A	Dividend	J	T					
50. Unilever Plc Spons ADR (UL)	A	Dividend	J	T					
51. Ventas Inc (VTR)	A	Dividend	J	T					

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 = \$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	
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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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)

52. Verizon Communications Com (VZ)	A	Dividend	J	T					
53. Vodafone Group Plc New (VOD)	A	Dividend	J	T					
54. Welltower Inc. (HCN)	A	Dividend	J	T					
55. Williams Companies (WMB)	A	Dividend	J	T					
56. Federal Home Loan Bank Bonds (3130A02T6)		None			Buy	03/28/18	K		
57.					Sold	08/08/18	K		
58. US Treasury Notes	A	Interest			Sold	08/08/18	K		
59. US Treasury Inflation IDX Note	A	Interest			Sold	08/08/18	K		
60. US Treasury Bonds	A	Interest			Sold	08/08/18	J		
61. FNMA Pass Thru Pool	C	Interest			Sold	08/08/18	K		
62. INVESTMENT PROPERTIES (H)									
63. Investment Property #1, Albertville, AL		None	L	W					
64. Investment Property #2, Albertville, AL	C	Rent			Sold	10/05/18	K		James William Hancock
65. Investment Property, Bledsoe County, TN		None			Sold	12/06/18	K		Roger Siever

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 = \$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	
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting	Date of Report
Carnes, Edward E.	03/18/2019

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

In 2018, assets within the account previously identified as IRA #2 were transferred into Brokerage #1. There were no reportable transactions associated with the transfer of assets between accounts.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

03/18/2019

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/ Edward E. Carnes**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544