

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, ANDREW L.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL TIME DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 40 Foley Square ROOM 435 NEW YORK, NY 10007		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
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. 1/17-12/17

J.P. MORGAN CHASE BANK--SALARY

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.

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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.	TADS	TUITION FOR CHILDRENS' SCHOOL	L
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. VANGUARD INDEX 500 (IRA)	A	Dividend	M	T					
2. VANGUARD STAR FUND (IRA)	A	Dividend	J	T					
3. VANGUARD INDEX 500	A	Dividend	K	T					
4. FIDELITY TOTAL BOND INDEX FUND (IRA)	D	Dividend	L	T					
5. J.P. MORGAN STABLE VALUE (401K)	D	Dividend	J	T					
6. J.P. MORGAN CHASE COMMON STOCK FUND (IRA)	B	Dividend	K	T					
7. J.P. MORGAN CHASE AGG. PORTFOLIO (401K)	A	Dividend	L	T					
8. J.P. MORGAN CHASE MOD. AGG (401K)	A	Dividend	M	T					
9. J.P. MORGAN PENSION	A	Interest	L	T					
10. CITADEL BROADCASTING GROUP (STOCK)		None	J	T	Closed	05/29/14			
11. DISNEY WALT CO. (STOCK)	A	Dividend			Sold	12/18/17	J	B	
12. EXXON MOBIL CO. (STOCK)	A	Dividend			Sold	12/18/17	J	B	
13. MATTEL (STOCK)	A	Dividend			Sold	12/18/17	J	A	
14. MERCK AND CO. (STOCK)	A	Dividend			Sold	12/18/17	J	A	
15. TIME WARNER INC. (STOCK)	A	Dividend			Sold	12/18/17	J	A	
16. J.P. MORGAN CHASE SAVINGS ACCT.	A	Interest	L	T					
17. NY 529 MODERATE GROWTH	A	Dividend	K	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 = \$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	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. NY 529 GROWTH	A	Dividend	K	T					
19. NY 529 BOND MKT. INDEX	A	Dividend	J	T					
20. NY 529 MOD AGE BASED	A	Dividend	K	T					
21. REAL ESTATE	A	Rent	O	R					
22. J.P. MORGAN COMMON STOCK	A	Dividend	J	T					
23. J.P. MORGAN RESTRICTED STOCK	A	Dividend	J	T					
24. J.P. MORGAN STOCK OPTIONS		None	J	T					
25. REAL ESTATE	A	Rent	L	R					
26. WELLS FARGO MONEY MARKET	A	Interest	K	T					
27. AMERICAN CENTURY MONEY MARKET	A	Interest	J	T					
28. MEDCO (x)		None			Merged (with line 30)	04/03/09	J	A	
29. MEDCO (x)		None			Merged (with line 30)	04/03/09	J	A	
30. Express Scripts HLDG co.	A	Dividend			Sold	12/18/17	J	A	
31. FIDELITY CONTRAFUND (IRA)	D	Dividend	L	T					

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

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

In Part VII, lines 10-15, 28-30. All of these individual stocks were held in a brokerage account. On December 18, 2017, I liquidated the account. After liquidating that account, I discovered that I no longer owned stock in two of the companies. I mistakenly continued to report those items. Line 10--I recently discovered that Citadel Broadcasting, which had spun off from Disney, declared bankruptcy on May 29, 2014. This stock should not have been included in the reports for 2015 or 2016. Lines 28 and 29--MEDCO merged with Express Scripts on April 3, 2009. MEDCO, listed in two entries on lines 28 and 29, should not have been included in any of the reports from 2010 through 2016.

In Part VII, line 21, I listed "real estate." The property was purchased in January 5, 2000 for \$585,000. The property is located in Kings County in New York in New York State.

In Part VII, line 25, I listed "real estate." The real estate was purchased on September 9, 2010 for \$85,100. The property is located in Seminole County in the state of Florida.

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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/ ANDREW L. 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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