

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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

|                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                           |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>CARTER, Robert L.                                                                                                                 | <b>2. Court or Organization</b><br><br>U.S. District Court, SDNY                                                                                                                                                                                                                          | <b>3. Date of Report</b><br><br>06/03/2009                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Senior U.S. District Judge                                                 | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination, <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2008<br>to<br>12/31/2008 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse, Room 2220<br>500 Pearl Street<br>New York, New York 10007                                                                                 | <b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b><br><br>Reviewing Officer _____ Date _____                                                          |                                                                  |
| <b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page. |                                                                                                                                                                                                                                                                                           |                                                                  |

## 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. Senior Advisory Board | Northside Center for Child Development |
| 2.                       |                                        |
| 3.                       |                                        |
| 4.                       |                                        |
| 5.                       |                                        |

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## 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.          |                          |
| 2.          |                          |
| 3.          |                          |

Carter, Robert L

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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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> |
|-------------|------------------------|
| 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.)*

| <u>SOURCE</u> | <u>DATES</u> | <u>LOCATION</u> | <u>PURPOSE</u> | <u>ITEMS PAID OR PROVIDED</u> |
|---------------|--------------|-----------------|----------------|-------------------------------|
| 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.)*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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period      |                               |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Summit Cash Reserves                                                                                                     | E                                       | Interest                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 2. Consolidated Edison, Inc.                                                                                                | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 3. Chase (MHT merger)                                                                                                       | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 4. Puget Energy                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 5. Public Service Enterprise                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 6. Patriot Premium                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 7. Blackrock (Muniyield NY Ins.)                                                                                            | A                                       | Interest                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 8. Vanguard LongTerm TE                                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 9. Vanguard - Lt. Term TE                                                                                                   | B                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 10. Vanguard - Reit                                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 11. Long Island Power                                                                                                       | B                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 12. U.S. BankCorp                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 13. Western Asset Emerging Market                                                                                           | B                                       | Interest                                      | K                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 14. Hancock J PTRT                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 15. Discover Financial Services                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 16. SLM Corp.                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                               |                                 |                                |                                                                   |
| 17. Affiliated Managers Group                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 1/4                           | K                               |                                |                                                                   |

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Bank of America Corp.                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 3/4                           | K                               |                                |                                                                   |
| 19. Cameron Intl. Corp.                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 5/29                          | J                               |                                |                                                                   |
| 20. Master Card Inc.                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/2                          | J                               |                                |                                                                   |
| 21.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |
| 22.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                               |                                 |                                |                                                                   |

|                                                  |                                                                                                                                          |                                                                                                                |                                                                                                                                                                                         |                                                                                                                      |                         |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------|
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| 2. Value Codes<br>(See Columns C1 and D3)        | Q = Appraisal<br>U = Book Value                                                                                                          | R = Cost (Real Estate Only)<br>V = Other                                                                       | T = Cash Market                                                                                                                                                                         |                                                                                                                      |                         |
| 3. Value Method Codes<br>(See Column C2)         |                                                                                                                                          |                                                                                                                |                                                                                                                                                                                         |                                                                                                                      |                         |

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

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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



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

### FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544