

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report required by the Ethics in Government Act of 1978, as amended (5 U.S.C. App. Sec. 101-111)

1. Person Reporting (Last name, first, middle initial) CARTER, Robert L.		2. Court or Organization U.S. District Court, SDNY	3. Date of Report 05/12/2004
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge		5. Report Type (check type) _____ Nomination, Date ____ / ____ / ____ _____ Initial ☒ Annual _____ Final	6. Reporting Period 01/01/2003 to 12/31/2003
7. Chambers or Office Address U.S. Courthouse, Room 2220 500 Pearl Street New York, New York 10007		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. Reviewing Officer _____ Date _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.

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

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Senior Advisory Board	Northside Center for Child Development
2 _____	_____
3 _____	_____

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

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1 _____	_____
2 _____	_____
3 _____	_____

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1	New England Life Insurance Co. (Pension)	1204.80
2 _____	_____	_____
3 _____	_____	_____
4 _____	_____	_____

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, Robert L.

Date of Report

05/12/2004

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

	SOURCE	DESCRIPTION
☒ X	NONE (No such reportable reimbursements.)	
1		
2		
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6		
7		

V. GIFTS

(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☒ X	NONE (No such reportable gifts.)		
1			
2			
3			

VI. LIABILITIES

(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒ X	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

* VALUE CODES: P=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 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 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

DISCLOSURE

A. Description of Assets (including trust assets)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure.		(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,assets, or transactions.)										
1	Summit Cash Reserves	B	Interest	K	T					
2	New York Urban (Dormitory City University)	C	Dividend	K	T	Part.Redempt	07/03	J	A	
3	Sunshine Mining	A	Dividend	J	T					
4	Consolidated Edison	B	Dividend	K	T					
5	Chase (MHT merger)	A	Interest	K	T					
6	Puget Sound	A	Dividend	J	T					
7	Public Service Enterprise	A	Dividend	J	T					
8	Patriot Premium	A	Dividend	J	T					
9	Texas Utilities	B	Dividend	K	T					
10	Munifield	B	Dividend	K	T					
11	Vanguard - NY Long Term	B	Dividend	K	T					
12	Vanguard - NY Lt. Term	B	Dividend	K	T					
13	Vanguard - Reit	A	Dividend	K	T					
14	Vanguard - Corporate	B	Dividend	K	T					
15	Putnam - Master	A	Dividend			Sold	12/03	J	A	
16	NM IBM Credit Corp.	A	Dividend	J	T					
17	Fannie Mae	A	Dividend	J	T					

1 Inc/Gain Codes: A=\$1,000 or less
(Col. B1, D4) F=\$50,001-\$100,000

B=\$1,001-\$2,500
G=\$100,001-\$1,000,000

C=\$2,501-\$5,000
H=\$1,000,001-\$5,000,000

D=\$5,001-\$15,000
I2=\$5,000,001 or more

E=\$15,001-\$50,000

2 Val Codes: J=\$15,000 or less
(Col. C1, D3) Q=\$500,001-\$1,000,000

K=\$15,001-\$50,000
P1=\$1,000,001-\$5,000,000 P2=\$5,000,001-\$25,000,000

L=\$50,001-\$100,000 M=\$100,001-\$250,000
P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

3 Val Meth Codes: Q=Appraisal
(Col. C2) U=Book Value

R=Cos (real estate only)
V=

S=Assessment
W=Estimated

T=Cash/Market

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
CARTER, Robert L.

Date of Report
05/12/2004

VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
18 Long Island Power	B	Dividend	K	T					
19 U.S. BankCorp	A	Dividend	J	T					
20 Solomon Brothers Emerging Market		None	J	T	buy	12/01	J		
21									
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3 Val Meth Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, Robert L.

Date of Report

05/12/2004

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, Robert L.

Date of Report

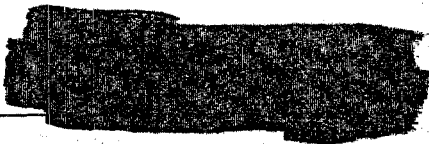
05/12/2004

IX. CERTIFICATION

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

9/20/04

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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

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

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Name of Person Reporting
CARTER, Robert L.

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VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions

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19	U.S. BankCorp	A	Dividend	J	T					
20	Solomon Brothers Emerging Market		Interest			buy	12/01	J		
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, Robert L.

Date of Report

05/12/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)

Robert L. Carter

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, Robert L.

Date of Report

05/12/2004

IX. CERTIFICATION

I certify that all the 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.

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Signature



Date

5/12/04

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