

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) CARTER, GENE	2. Court or Organization U.S. DISTRICT COURT (MAINE)	3. Date of Report 4/30/2004
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 appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 156 FEDERAL STREET PORTLAND, MAINE 04101	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. Date _____	

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. Sign on last page.

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

☒ NONE - (No reportable positions.)POSITIONNAME OF ORGANIZATION/ENTITY

I. _____

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

☒ NONE - (No reportable agreements.)DATEPARTIES AND TERMS

RECEIVED
MAY 3 12 33 PM '04
FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1. _____

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

1. _____

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

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

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1. _____

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

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

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1. ** NOTHING TO REPORT **

FINANCIAL DISCLOSURE REPORT

Page 1 of 5

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Amer Barrick Res. Corp	A	Dividend	J	T	Sale	10/29	J	B	
2. PaineWebbber Small Cap. Value Fund	A	Dividend	J	T	Sale	10/29	J	A	
3. Maine Health & Higher Education FAC	A	Interest	K	T					
4. US Gov't Treasury Notes - Maturing 11/15/05 - 11/15/15	A	Interest	L	T					
5. Royce-Micro-Cap. Realty Trust, Inc.	A	Dividend	K	T					
6. Berkshire Hathaway Cl. B	A	Dividend	J	T					
7. New Plan Realty Trust	A	Dividend	K	T	Sale	10/29	K	B	
8. U.S. Govt Treasury Notes Maturing 11/15/22	A	Interest	K	T					
9. Barrick Gold Corp. ADR	B	Dividend	K	T	Sale	10/29	K	B	
10. Sprint Corp.	A	Dividend	J	T	Sale	10/29	J	B	
11. Transocean Sedco Farenx Inc.	A	Dividend	J	T	Sale	10/29	J	A	
12. AT&T Liberty Media Class A	A	Dividend	J	T	Sale	10/30	J	B	
13. American Home Products	A	Dividend	J	T	Sale	10/29	J	B	
14. Anheuser Busch Cos.	A	Dividend	J	T	Sale	10/30	J	A	
15. Automatic Data Processing	A	Dividend	J	T	Sale	10/30	J	B	
16. Bank of America Corp.	A	Dividend	J	T	Sale	10/29	J	B	
17. Best Foods	A	Dividend	J	T	Sale	10/29	J	B	
18. Citigroup Inc.	A	Dividend	J	T	Sale	10/30	J	C	

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 = \$250,000-\$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 = \$5,000,001-\$25,000,000	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 2 of 5

Name of Person Reporting
CARTER, GENE

Date of Report
4/30/2004

VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
19. Coastal Corp. Del.	A	Dividend	J	T	Sale	10/29	J	B	
20. First Union Corp.	A	Dividend	J	T	Sale	10/30	J	B	
21. Gannett Co.	A	Dividend	J	T	Sale	10/30	J	C	
22. General Electric Co.	A	Dividend	J	T	Sale	10/30	J	C	
23. H.J. Heinz Co.	A	Dividend	J	T	Sale	10/29	J	B	
24. Intel Corp.	A	Dividend	J	T	Sale	10/29	J	B	
25. Int'l Business Machines	A	Dividend	J	T	Sale	10/30	J	C	
26. Johnson & Johnson Co.	A	Dividend	J	T	Sale	10/29	J	C	
27. Kimberly Clark Corp.	A	Dividend	J	T	Sale	10/30	J	C	
28. Liz Claiborne Inc.	A	Dividend	J	T	Sale	10/30	J	B	
29. Merrill Lynch & Co.	A	Dividend	J	T	Sale	10/30	J	B	
30. Pepsico Inc.	A	Dividend	J	T	Sale	10/30	J	B	
31. Pfizer Inc.	A	Dividend	J	T	Sale	10/30	J	B	
32. Phillips Petroleum	A	Dividend	J	T	Sale	10/30	J	B	
33. Southwest Airlines Co.	A	Dividend	J	T	Sale	10/30	J	C	
34. Sprint Corp.	A	Dividend	J	T	Sale	10/29	J	C	
35. AOL Time Warner Inc.	A	Dividend	J	T	Sale	10/30	J	A	
36. Tyco Int'l Ltd. New	A	Dividend	J	T	Sale	10/30	J	B	

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 = \$250,000-\$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 = \$More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 3 of 5

Name of Person Reporting
CARTER, GENE

Date of Report
4/30/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37. Wal-Mart Stores Inc.	A	Dividend	J	T	Sale	10/30	J	B	
38. Worldcom, Inc.	A	Dividend	J	T	Sale	10/30	J	B	
39. Davis NY Venture Fund Class A	A	Dividend	L	T	Partial Sale	10/29	L	C	
40. Strategic Global Growth Fund	B	Dividend	K	T					
41. Strategic Global Income Fund	A	Dividend	J	T	Buy	6/28	J		
42. Royce Value Trust Inc.	B	Dividend	K	T					
43. American Balanced Fund	B	Dividend	K	T	Buy	12/01	K		
44. Hartford Capital Appreciation Fund	B	Dividend	K	T					
45. MBIA Inc.	A	Dividend	J	T	Sale	10/30	J	C	
46. General Electric Corp.	A	Dividend	J	T	Sale	10/29	J	B	
47. Newmont Mining Co.	A	Dividend	K	T					
48. Harmony Gold MNS	A	Dividend	J	T	Sale	10/29	J	B	
49. TECO Energy, Inc.	A	Dividend	K	T	Sale	10/29	K	C	
50. Home Depot, Inc.	A	Dividend	J	T	Sale	10/30	J	C	
51. Marsh & McLennon Co.	A	Dividend	J	T	Sale	10/30	J	B	
52. Launder, Estee C1 A	A	Dividend	J	T	Sale	10/30	J	C	
53. Calpin Corp.	A	Dividend	J	T	Sale	10/30	J	B	
54. Electronic Data Systems, Inc.	A	Dividend	J	T	Sale	10/30	J	B	

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 = \$250,000-\$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 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 4 of 5

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code I (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
55. Dell Computer, Inc.	A	Dividend	J	T	Sale	10/30	J	B	
56. Fannie Mae	A	Dividend	J	T	Sale	10/30	J	B	
57. Baxter International, Inc.	A	Dividend	J	T	Sale	10/29	J	B	
58. Chevron/Texaco Corp.	A	Dividend	J	T	Sale	10/30	J	B	
59. Duke Realty Inc.	C	Dividend	J	T	Buy	10/29	J		
60. Fording CDM Coal Trust	D	Dividend	J	T	Buy	10/29	J		
61. Enerplus Resources	D	Dividend	J	T	Buy	10/29	J		
62. Kinder Morgan Energy	C	Dividend	J	T	Buy	10/29	J		
63. Pengrowth Energy Trust	D	Dividend	J	T	Buy	10/29	J		
64. Duke Realty Corp.	D	Dividend	J	T	Buy	1/09	J		
65. Pimco Corporate Opportunity Fund	E	Dividend	K	T	Buy	1/09	K		
66. American Funds	F	Dividend	L	T	Buy	12/13	L		
67. First Eagle Gold Fund	E	Dividend	K	T	Buy	10/29	K		
68. FPA Capital Fund	E	Dividend	K	T	Buy	10/29	K		
69. Hartford Capital Appreciation Fund	E	Dividend	K	T	Buy	12/13	K		
70. Oakmark Fund Class 1	E	Dividend	K	T	Buy	10/29	K		
71. Third Avenue Value Fund	E	Dividend	K	T	Buy	10/29	K		
72. Ace Limited Bermuda	B	Dividend	J	T	Buy	7/07	J		

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 = \$250,000-\$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 = \$More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 5

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
73. Ace Limited Bermuda	B	Dividend	J	T	Sale	10/29	J	A	
74. Becton Dickson	B	Dividend	J	T	Buy	3/21	J		
75. Becton Dickson	B	Dividend	J	T	Sale	10/29	J	A	
76. Cardinal Health	J	Dividend	J	T	Sale	10/29	J	C	
77. Dineen Energy Corp.	B	Dividend	J	T	Buy	6/13	J		
78. Dineen Enemgy Corp.	B	Dividend	J	T	Sale	10/29	J	A	
79. HCA Inc.	B	Dividend	J	T	Buy	9/19	J		
80. HCA Inc.	B	Dividend	J	T	Sale	10/29	J	A	
81. Timberwest Forest CRP Stapled	B	Dividend	J	T	Buy	1/09	J		

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 = \$250,000-\$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 = \$More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, GENE

Date of Report

4/30/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

4/30/04

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. § 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