

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/16/2020
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 01/01/2019 to 12/31/2019
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

04/16/2020

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> (yours, not spouse's)
1. 2019	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.)*

<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. American College of Trial Lawyers	September 25-28, 2019	Vancouver, Canada	Lecture	Transportation, lodging, meals
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Carnes, Edward E.	04/16/2020

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

04/16/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. INDIVIDUAL ASSETS (H)									
2. Regions Bank (cash)	A	Interest	L	T					
3. Synovous Bank (cash)	B	Interest	N	T					
4. RSA-1 Deferred Compensation Account (State of Alabama)	C	Interest	M	T					
5. PEIRAF Deductible Emp. Contributions (State of Alabama)	C	Interest	M	T					
6. Vantage Bank (X)		None	L	T					
7. IRA #1 (H)									
8. Vanguard Prime Money Market Fund (VMMXX)	B	Dividend	M	T					
9. BROKERAGE #1 (H)									
10. Vanguard Federal Money Market Fund (VMFXX) (cash)	D	Interest	O	T					
11. Vanguard Health Care Mutual Fund (VGHAX)	D	Dividend	L	T					
12. Vanguard Prime Money Market Fund (VMMXX)	C	Dividend	M	T					
13. TRUST #1 (H)									
14. Vanguard Healthcare Investor (VGHCX)	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 Prime Money Investor CL (VMMXX)	B	Dividend	L	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Vanguard Global Minimum Volatility Admiral (VMNVX)	D	Dividend	M	T					
19. Vanguard Morgan Growth Admiral (VMRAX)	D	Dividend			Merged (with line 21)	04/03/19	M		
20. Vanguard Short Term Corp Bond Index (VSCSX)	A	Dividend	K	T					
21. Vanguard US Growth Admiral (VWUAX)	D	Dividend	N	T					
22. ESTATE #1 (H)									
23. Wells Fargo Money Market (cash account)	A	Interest	J	T					
24. American Electric Power Inc (AEP)	A	Dividend			Sold	04/30/19	J		
25. AT&T Inc (T)	A	Dividend	J	T					
26. BCE Inc (BCE)	A	Dividend			Sold	04/30/19	J		
27. BP Plc Spons ADR (BP)	A	Dividend			Sold	04/30/19	J		
28. Bristol Myers Squibb Co (BMYU)	A	Dividend	J	T					
29. Chevron Corporation (CVX)	A	Dividend	J	T					
30. Coca-Cola Company (KO)	A	Dividend	J	T					
31. ConocoPhillips (COP)	A	Dividend			Sold	04/30/19	J		
32. Dominion Energy Inc (D)	A	Dividend	J	T					
33. Duke Energy Corp Com New (DUK)	A	Dividend	J	T					
34. Eli Lilly & Co (LLY)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

04/16/2020

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. Glaxosmithkline PLC-ADR (GSK)	A	Dividend	J	T					
36. HCP Inc (HCP)	A	Dividend			Sold	04/30/19	J		
37. Johnson & Johnson (JNJ)	A	Dividend	J	T					
38. Kimberly-Clark Corp (KMB)	A	Dividend	J	T					
39. Kinder Morgan Inc Del (X)	A	Dividend			Sold	04/30/19	J		
40. Kraft Heinz Co. (KHC)		None			Sold	03/05/19	J		
41. McDonalds Corp (MCD)	A	Dividend	K	T					
42. Merck & Co Inc New (MRK)	A	Dividend	J	T					
43. National Grid Plc Spon ADR New (NGG)	A	Dividend			Sold	04/30/19	J		
44. Pepsico Incorporated (PEP)	A	Dividend	J	T					
45. PPL Corporation (PPL)	A	Dividend			Sold	04/30/19	J		
46. Procter & Gamble Co (PG)	A	Dividend	J	T					
47. Realty Income Corp Reit (O)	A	Dividend	J	T					
48. Royal Dutch Shell PLC (RDS/B)	A	Dividend	J	T					
49. Senior Housing Prop TR Reit (SNH) (Y)									
50. The Southern Company (SO)	A	Dividend	J	T					
51. Total S.A. Spons ADR (TOT)	A	Dividend			Sold	04/30/19	J		

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Unilever Plc Spons ADR (UL)	A	Dividend			Sold	04/30/19	J		
53. Ventas Inc (VTR)	A	Dividend			Sold	04/30/19	J		
54. Verizon Communications Com (VZ)	A	Dividend	J	T					
55. Vodafone Group Plc New (VOD)	A	Dividend			Sold	04/30/19	J		
56. Welltower Inc. (HCN)	A	Dividend	J	T					
57. Williams Companies (WMB)	A	Dividend			Sold	04/30/19	J		
58. INVESTMENT PROPERTIES (H)									
59. Investment Property #1, Albertville, AL		None			Sold	05/13/19	K		Jaycee and Ramsey Wright

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Carnes, Edward E.

Date of Report

04/16/2020

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

Reportable assets of Trust #1 and Estate #1 are listed in Part VII.

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

04/16/2020

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