

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

1. Person Reporting (last name, first, middle initial) CARTER, ANDREW L.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 05/19/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE DISTRICT JUDGE	5a. Report Type (check appropriate type) ☒ Nomination, Date 05/19/2011 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 05/19/2011
7. Chambers or Office Address EASTERN DISTRICT OF NEW YORK 225 CADMAN PLAZA ROOM 509 BROOKLYN, NY 11201	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 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

1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)☒ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1.	
2.	
3.	

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> <i>(yours, not spouse's)</i>
1. 1/07-6/09	FEDERAL DEFENDERS OF NEW YORK-SALARY	\$84,680.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*
(Dollar amounts not required except for honoraria.)

☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 1/10-5/11	J.P. MORGAN CHASE-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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. EXEMPT				
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.)

	SOURCE	DESCRIPTION	VALUE
1.	EXEMPT		
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.	TUITION MANAGEMENT SYSTEMS	TUITION	K
2.	FACTS MANAGEMENT	TUITION	K
3.			
4.			
5.			

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-66 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset except from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		(1) Type (e.g., buy, sell, redemption)	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)		(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 3 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. VANGUARD INDEX 500 (IRA)	A	Dividend	M	T	Exempt				
2. VANGUARD INDEX 500	A	Dividend	K	T					
3. VANGUARD STAR FUND (IRA)	A	Dividend	J	T					
4. FIDELITY CONTRAFUND (IRA)		None	L	T					
5. FIDELITY TOTAL BOND INDEX FUND (IRA)		None	L	T					
6. J.P. MORGAN STABLE VALUE (401K)		None	K	T					
7. J.P. MORG. COM STOCK FUND (IRA)	B	Dividend	K	T					
8. J.P. MORG. AGG PORTFOLIO (IRA)		None	M	T					
9. J.P. MORG. MOD AGG (401K)		None	M	T					
10. J.P. MORGAN PENSION	D	Interest	L	T					
11. CITADEL BROAD- CASTING (STOCK) (Y)									
12. DISNEY WALT CO. (STOCK)	A	Dividend	J	T					
13. EXXON MOBIL CO. (STOCK)	A	Dividend	J	T					
14. MATTEL (STOCK)	A	Dividend	J	T					
15. MERCK AND CO. (STOCK)	A	Dividend	J	T					
16. TIME WARNER INC. (STOCK)	A	Dividend	J	T					
17. J.P. MORG. SAVINGS ACCT.	A	Interest	L	T					

1. Income Item Codes:
(See Columns B1 and D4)

2. Value Codes:
(See Columns C1 and D3)

3. Value Method Codes:
(See Column C3)

A = \$1,000 or less
F = \$50,001 - \$100,000
I = \$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 = Cash (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H = \$5,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessed
W = Estimated

D = \$5,001 - \$15,000
J2 = 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

VII. INVESTMENTS and TRUSTS - Income, value, transactions (Includes those of spouse and dependent children; see pp. 14-60 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)
18. NEW YORK 529 MOD. GROWTH		None	K	T					
19. NEW YORK 529 GROWTH		None	K	T					
20. NEW YORK 529 BOND MKT. INDEX		None	J	T					
21. NEW YORK 529 MOD AGE BASED		None	K	T					
22. REAL ESTATE	E	Rent	O	R					
23. J.P. MORG COMMON STOCK	A	Dividend	J	T					
24. J.P. MORG RESTRICTED STOCK		None	J	T					
25. J.P. MORG STOCK OPTIONS		None	J	T					
26. REAL ESTATE	C	Rent	L	R					
27. WELLS FARGO MONEY MARKET	A	Interest	K	T					
28. AMERICAN CENT. MONEY MARKET	A	Interest	J	T					

1. Income Gain Codes: (See Columns B) and D4)
2. Value Codes (See Columns C1 and D3)
3. Value Method Codes (See Column C2)
A=\$1,000 or less
F=\$75,001 - \$100,000
I=\$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=Cash (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=Valuation
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

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

In Part VII, line 22 I listed "real estate." The property was purchased on January 3, 2000 for \$585,000. The property is located in Kings County in New York State.

In Part VII, line 26, 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 

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		71	882	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities - see schedule		838	788	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due		21	846
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable - personal residence		476	236
Real estate owned - -see schedule		670	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		5	800	Home equity line of credit		83	000
Cash value-life insurance							
Other assets itemize:							
Thrift Savings Plan		41	235				
				Total liabilities		581	082
				Net Worth	1	046	623
Total Assets	1	627	705	Total liabilities and net worth	1	627	705
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							