

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) CARTER, ANDREW L.	2. Court or Organization SOUTHERN DISTRICT OF NEW YORK	3. Date of Report 08/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL TIME DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 40 Foley Square ROOM 435 NEW YORK, NY 10007		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	_____	_____
2.	_____	_____
3.	_____	_____

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CARTER, ANDREW 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> (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. 1/1-8/7	J.P. MORGAN CHASE BANK--SALARY
2. 11/4-12/31	BANK OF NY MELLON--SALARY
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.				

Name of Person Reporting	Date of Report
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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.			
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.	TADS	TUITION FOR CHILDRENS' SCHOOL	L
2.			
3.			
4.			
5.			

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)
1. VANGUARD INDEX 500 (IRA)	A	Dividend	M	T					
2. VANGUARD STAR FUND (IRA)	A	Dividend	K	T					
3. VANGUARD INDEX 500	A	Dividend	K	T					
4. FIDELITY TOTAL BOND INDEX FUND (IRA)	D	Dividend	L	T					
5. J.P. MORGAN STABLE VALUE (401K)	D	Dividend			Sold	08/07/19	L	F	
6. J.P. MORGAN CHASE COMMON STOCK FUND (IRA)	B	Dividend			Sold	08/07/19	L	F	
7. J.P. MORGAN CHASE AGG. PORTFOLIO (401K)	A	Dividend			Sold	08/07/19	M	G	
8. J.P. MORGAN CHASE MOD. AGG (401K)	A	Dividend			Sold	08/07/19	M	G	
9. J.P. MORGAN PENSION	A	Interest			Sold	08/07/19	L	F	
10. J.P. MORGAN CHASE SAVINGS ACCT.	A	Interest	L	T					
11. NY 529 MODERATE GROWTH	A	Dividend	K	T					
12. NY 529 GROWTH	A	Dividend	K	T					
13. NY 529 BOND MKT. INDEX	A	Dividend	J	T					
14. NY 529 MOD AGE BASED	A	Dividend	K	T					
15. REAL ESTATE	C	Rent	O	R					
16. J.P. MORGAN COMMON STOCK	A	Dividend	J	T					
17. J.P. MORGAN RESTRICTED STOCK	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

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. J.P. MORGAN STOCK OPTIONS		None	J	T					
19. REAL ESTATE	C	Rent	L	R					
20. WELLS FARGO MONEY MARKET	A	Interest	K	T					
21. AMERICAN CENTURY MONEY MARKET	A	Interest	J	T					
22. FIDELITY CONTRAFUND (IRA)	B	Dividend	L	T					
23. JP Morgan Securities, LLC--Asset Allocation Only (IRA)	A	Dividend	O	T	Open	08/12/19	O		
24. Betterment LLC-Cash Reserve Account--Asset Allocation Only	A	Interest	J	T	Open	10/11/19	J		
25. Bank of NY Mellon Large Cap Stock Index Fund (401K)		None	J	T	Open	12/13/19	J		
26. Bank of NY Mellon Large Cap Growth Equity Fund (401K)		None	J	T	Open	12/13/19	J		
27. Bank of NY Mellon Large Cap Value Equity Fund (401K)		None	J	T	Open	12/13/19	J		
28. Bank of NY Mellon Mid Cap Growth Equity Fund (401K)		None	J	T	Open	12/13/19	J		
29. Bank of NY Mellon Small Cap Growth Equity Fund (401K)		None	J	T	Open	12/13/19	J		
30. Bank of NY Mellon Small Mid-Cap Stock Index Cap Fund (401K)		None	J	T	Open	12/13/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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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

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

In Part VII, lines 5-9 represent funds associated with my spouse's 401 K plan with her previous employer. When my spouse switched jobs in 2019, these funds were rolled over into a new IRA account. That account is listed at entry number 23. Lines 25-30 represent investments in my spouse's new 401K plan with her current employer.

In Part VII, line 15, I listed "real estate." The property was purchased in January 5, 2000 for \$585,000. The property is located in Kings County in New York in New York State.

In Part VII, line 19, 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: **S/ ANDREW L. CARTER**

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
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