

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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, William B.	2. Court or Organization U. S. District Court Western District of New York	3. Date of Report 03/01/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Recalled Magistrate Judge (Full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 10th Floor Tallan Building West Martin Luther King Boulevard Chattanooga, TN 37402		
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. Adjunct Faculty	University of Tennessee at Chattanooga
2. Adjunct Faculty	Covenant College
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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. 2020	University of Tennessee at Chattanooga - Teaching	\$6,000.00
2. 2020	Covenant College - Teaching	\$5,233.00
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Carter, William B.	03/01/2021

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 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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. TIAA/CREF Annuity (H)									
2. Fidelity Contra Mutual Fund	A	Dividend	K	T					
3.									
4. Merrill Brokerage (H)									
5. Corporate Bonds #1 (H)									
6. Chevron Corp GLB 03.191%	A	Interest	J	T					
7. Procter & Gamble Co GLB 03.100%	A	Interest	J	T					
8. Intercontinental Exchange GLB 03.100%	A	Interest	J	T					
9. Cisco Systems Inc GLB 03.625%	A	Interest	J	T					
10. State Street Corp GLB 03.300%	A	Interest	J	T					
11. Pepsico Inc 03.500%	A	Interest	J	T					
12. MLBank Deposit Program cash/sweep account	A	Interest	K	T					
13.									
14. Government and Agency Securities (H)									
15. U.S. Treasury Note	A	Interest	J	T					
16.									
17. Corporate Bonds #2 (H)									

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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)

18. Apple, Inc 2.24% (X)	A	Interest	J	T					
19. BANK OF NEW YORK MELLON	A	Interest	J	T	Buy	06/07/20	J		
20. Berkshire Hathaway Inc 3.6% (X)	A	Interest	K	T					
21. CITIBANK NA 3.33%	A	Interest	J	T	Buy	09/25/20	J		
22. CISCO SYSTEMS INC 3.29%	A	Interest	J	T	Buy	09/25/20	J		
23. Coca-Cola Co GLB 03.150%	A	Interest	J	T					
24. CME Group 2.86%	A	Interest	J	T					
25. Chevron Corp 3.00%	A	Interest	J	T					
26. ESTEE LAUDER CO INC	A	Interest	J	T	Buy	08/31/20	J		
27. Glaxosmithklien Capital 3.15%	A	Interest	J	T					
28. Bank of NY Mellon 3.39%	A	Interest	J	T	Buy (add'l)	08/31/20	J		
29. IBM Corp 3.04%	A	Interest	J	T	Buy (add'l)	08/31/20	J		
30. Intercontinental Exchange 3.64%	A	Interest	J	T					
31. Intel Corp 3.22%	A	Interest	J	T	Buy (add'l)	12/23/20	J		
32. Microsoft Corp GLB 04.000%	A	Interest	J	T					
33. NIKE INC 2.22%	A	Interest	J	T	Buy	12/24/20	J		
34. PEPSICO INC 3.10%	A	Interest	J	T	Buy	06/07/20	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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. STATE STREET CORP	A	Interest	J	T	Buy	09/25/20	J		
36. Oracle Corp GLB 03.875%	A	Interest	J	T					
37. US BANCORP	A	Interest	J	T	Buy	08/31/20	J		
38. Visa Inc 2.80%	A	Interest	J	T					
39. WALMART INC (X)	A	Interest	J	T					
40.									
41. Equities (H)									
42. AMN ELEC POWER CO (X)	A	Dividend	J	T					
43. AT&T (X)	A	Dividend	J	T					
44. Bristol-Myers Squibb Co	A	Dividend	J	T					
45. Chevron Corp	A	Dividend	J	T					
46. Cisco Systems Inc	A	Dividend	J	T					
47. Citigroup Inc Com New	A	Dividend	J	T					
48. Coca-Cola Com	A	Dividend	J	T					
49. COMCAST CORP NEW CL A (X)	A	Dividend	J	T					
50. Conocophillips	A	Dividend	J	T					
51. CVS Health Corp	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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. DR Horton Inc	A	Dividend	J	T					
53. Delta Air Lines	A	Dividend	J	T					
54. Digital Rlty TR Inc	A	Dividend	J	T					
55. Disney (Walt) Co	A	Dividend	J	T					
56. DuPont De Nemours Inc	A	Dividend	J	T					
57. EMERSON ELEC CO		None	J	T	Buy	12/11/20	J		
58. EVERGY INC (X)	A	Dividend	J	T					
59. EXELON CORPORATION (X)	A	Dividend	J	T					
60. EXXON MOBIL CORP COM	A	Dividend	J	T					
61. GENERAL MILLS	A	Dividend	J	T					
62. GENL DYNAMICS CORP COM	A	Dividend	J	T					
63. HONEYWELL INTL INC DEL	A	Dividend	J	T					
64. INTEL CORP	A	Dividend	J	T					
65. INTL BUSINESS MACHINES	A	Dividend	J	T					
66. JOHNSON AND JOHNSON COM	A	Dividend	J	T					
67. JPMORGAN CHASE & CO	A	Dividend	J	T					
68. KRAFT (THE) HEINZ CO SHS	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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)
69. KROGER CO	A	Dividend	J	T					
70. LINCOLN NTL CORP IND NPV	A	Dividend	J	T					
71. LOWE'S COMPANIES INC	A	Dividend	J	T					
72. MERCK AND CO INC SHS	A	Dividend	J	T					
73. Nextera Energy Inc	A	Dividend	J	T					
74. PACKAGING CORP AMERICA	A	Dividend	J	T					
75. Pfizer	A	Dividend	J	T					
76. Procter & Gamble Co	A	Dividend	J	T					
77. Prudential Financial Inc	A	Dividend	J	T	Buy (add'l)	12/09/20	J		
78. QUEST DIAGNOSTICS INC	A	Dividend	J	T					
79. STRYKER CORP	A	Dividend	J	T					
80. Target Corp	A	Dividend	J	T					
81. UNITED PARCEL SVC CL B	A	Dividend	J	T					
82. Verizon Communications	A	Dividend	J	T					
83. Ventas Inc REIT	A	Dividend	J	T					
84. Walmart Inc	A	Dividend	J	T					
85. Weyerhaeuser Co	A	Dividend	J	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)
86. 3M Company	A	Dividend	J	T					
87.									
88. Municipal Bonds (H)									
89. El Paso Tex Go Ref BDS Series 2011 (Y)									
90. Columbus Ohio Var Purp ULTD Tax Bds Ser A	A	Interest	J	T					
91. Ohio State Common Sch GO Bds Ser B	A	Interest	J	T					
92. Memphis Tenn Gen Impt Bds 2016	A	Interest	J	T					
93. RUTHERFORD CNTY TENN GO	A	Interest	J	T	Buy	01/29/20	J		
94. MARYLAND ST TAX EXEMPT	A	Interest	J	T	Buy	02/05/20	J		
95. FLORIDA ST DEPT GEN SVCS	A	Interest	J	T	Buy	01/29/20	J		
96.									
97.									
98.									
99.									
100.									
101.									

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 10 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Carter, William B.

Date of Report

03/01/2021

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