

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/01/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse One Church Street, Room 403 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.	
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.	

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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. 2014	State of Alabama - Retirement Income	\$30,311.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar 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. Alabama State Bar	07/09/14-07/11/14	San Destin Beach, Florida	Judicial educational activities	Travel expenses
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.		
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.		

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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. Checking account - Regions Bank, Montgomery, AL	A	Interest	M	T					
2. Savings account - Sterling Bank, Montgomery, AL	A	Interest	N	T					
3. RSA-1 Deferred Compensation Account (State of Alabama)	C	Interest	L	T					
4. PEIRAF Deductible Emp. Contributions (State of Alabama)	D	Interest	L	T					
5. IRA Account - Vanguard Health Care Mutual Fund	A	Dividend	L	T					
6. Vanguard Health Care Mutual Fund	D	Dividend	L	T					
7. Vanguard Prime Money Market Fund	A	Dividend	J	T					
8. Vanguard S&P 500 Index ETF	A	Dividend	K	T					
9. Office Building, Albertville, AL \$86,500 (X)		None	L	S					
10. Car Wash, Highway 431, Albertville, AL \$282,600 (X)	C	Rent	N	S					
11. Office Building, Guntersville, AL \$98,900 (X)	C	Rent	L	S					
12. Timber Land, Bledsoe County, TN \$66,375 (X)		None	L	S					
13. Estate 1 - Wells Fargo - Abbott Laboratories (X)		None	K	T					
14. Estate 1 - Wells Fargo - Alcoa Inc (X)	A	Dividend	K	T					
15. Estate 1 - Wells Fargo - American Capital Agency Corp (X)	A	Dividend	J	T					
16. Estate 1 - Wells Fargo - Amgen Inc (X)	A	Dividend	K	T					
17. Estate 1 - Wells Fargo - Analog Devices Inc (X)	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Estate 1 - Wells Fargo - Apache Corp Common (X)		None	J	T					
19. Estate 1 - Wells Fargo - Applied Materials Inc (X)	A	Dividend	J	T					
20. Estate 1 - Wells Fargo - AT&T Inc (X)	A	Dividend	K	T					
21. Estate 1 - Wells Fargo - Bank New York Mellon Corp (X)	A	Dividend	K	T					
22. Estate 1 - Wells Fargo - BB&T Corp (X)	A	Dividend	K	T					
23. Estate 1 - Wells Fargo - Berkshire Hathaway Inc Series B (X)		None	J	T					
24. Estate 1 - Wells Fargo - BP Plc Spons ADR (X)	A	Dividend	J	T					
25. Estate 1 - Wells Fargo - Chubb Corp (X)		None	K	T					
26. Estate 1 - Wells Fargo - Comcast Corp Cl A Spl (X)	A	Dividend	K	T					
27. Estate 1 - Wells Fargo - Covidien Plc Cov (X)		None	J	T					
28. Estate 1 - Wells Fargo - CVS Health Corporation (X)		None	K	T					
29. Estate 1 - Wells Fargo - Devon Energy Corp (X)	A	Dividend	J	T					
30. Estate 1 - Wells Fargo - Dow Chemical Company (X)	A	Dividend	K	T					
31. Estate 1 - Wells Fargo - Du Pont E.I. DE Nemours and Company (X)	A	Dividend	J	T					
32. Estate 1 - Wells Fargo - Duke Energy Corp Com New (X)	A	Dividend	K	T					
33. Estate 1 - Wells Fargo - Eaton Corp Plc (X)	A	Dividend	J	T					
34. Estate 1 - Wells Fargo - Endurance Specialty Hldg (X)	A	Dividend	J	T					

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35. Estate 1 - Wells Fargo - Entergy Corp New (X)	A	Dividend	J	T					
36. Estate 1 - Wells Fargo - Ford Motor Company (X)	A	Dividend	J	T					
37. Estate 1 - Wells Fargo - General Electric Company (X)	A	Dividend	J	T					
38. Estate 1 - Wells Fargo - Glaxosmithkline PLC-ADR (X)		None	K	T					
39. Estate 1 - Wells Fargo - HCP Inc (X)	A	Dividend	K	T					
40. Estate 1 - Wells Fargo - Health Care Reit Inc (X)	A	Dividend	K	T					
41. Estate 1 - Wells Fargo - Hewlett-Packard Company (X)		None	J	T					
42. Estate 1 - Wells Fargo - iShares iBoxx & ET Investment Grade Corp (X)	A	Dividend	K	T					
43. Estate 1 - Wells Fargo - Johnson & Johnson (X)	A	Dividend	K	T					
44. Estate 1 - Wells Fargo - New York Community Bancorp Inc (X)	A	Dividend	K	T					
45. Estate 1 - Wells Fargo - Occidental Pete Corp (X)	A	Dividend	J	T					
46. Estate 1 - Wells Fargo - Old Republic Intl Corp (X)	A	Dividend	K	T					
47. Estate 1 - Wells Fargo - Oracle Corporation (X)	A	Dividend	J	T					
48. Estate 1 - Wells Fargo - Pepsico Incorporated (X)		None	J	T					
49. Estate 1 - Wells Fargo - Procter & Gamble Co (X)	A	Dividend	K	T					
50. Estate 1 - Wells Fargo - Quest Diagnostics Inc (X)	A	Dividend	K	T					
51. Estate 1 - Wells Fargo - Sempra Energy (X)	A	Dividend	J	T					

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52. Estate 1 - Wells Fargo - St Jude Medical Inc (X)	A	Dividend	K	T					
53. Estate 1 - Wells Fargo - Staples Inc (X)	A	Dividend	J	T					
54. Estate 1 - Wells Fargo - Sysco Corporation (X)	A	Dividend	K	T					
55. Estate 1 - Wells Fargo - Time Warner Inc New (X)	A	Dividend	K	T					
56. Estate 1 - Wells Fargo - Unilever (X)	A	Dividend	K	T					
57. Estate 1 - Wells Fargo - Vanguard Intermediate Term Corp Bond (X)	A	Dividend	K	T					
58. Estate 1 - Wells Fargo - Vanguard Long Term ET Corp Bond (X)	A	Dividend	K	T					
59. Estate 1 - Wells Fargo - Vanguard Short Term ET Corp Bond (X)	A	Dividend	M	T					
60. Estate 1 - Wells Fargo - Verizon Communications Com (X)	A	Dividend	K	T					
61. Estate 1 - Wells Fargo - Vodafone Group Plc New Sponsored ADR (X)		None	K	T					
62. Estate 1 - Wells Fargo - Yahoo Inc (X)		None	J	T					
63. Estate 1 - Wells Fargo - Zimmer Holdings Inc (X)	A	Dividend	K	T					
64. Estate 1 - Wells Fargo - 3M Co (X)	A	Dividend	J	T					
65. Estate 1 - Wells Fargo - Hoover AL Brd Ed Cap Outlay WTS G/O Ltd (X)		None	K	T					
66. Estate 1 - Wells Fargo - Mobile AL Pub Edl Bldg Auth Ref Ltg Oblig (X)		None	K	T					
67. Estate 1 - Wells Fargo - Huntsville AL Nat Gas Rev Wts B/E OID (X)		None	J	T					
68. Estate 1 - Wells Fargo - Alabama Wtr Pollution Ctl Auth Ref Revltn (X)		None	K	T					

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69. Estate 1 - Wells Fargo - Alabama St Port Auth Docks Facs Rev Rfdg (X)		None	J	T					
70. Estate 1 - Wells Fargo - Alabama St Port Auth Docks Ser (X)		None	K	T					
71. Estate 1 - Wells Fargo - Mobile AL W&S Commrs Wtr & Swr Rev (X)		None	K	T					
72. Estate 1 - Wells Fargo - Invesco High Yield Muni FD Cl A Acthx (X)	A	Dividend	K	T					
73. Estate 1 - Wells Fargo - Franklin Tax Free TR Ala Tax Free Income (X)	A	Dividend	K	T					
74. Estate 1 - Wells Fargo - California Res Corp (X)	A	Distribution	J	T					
75. Estate 1 - Wells Fargo - Altria Group Inc (X)		None	J	T					
76. Estate 1 - Wells Fargo - American Electric Power Inc (X)	A	Dividend	J	T					
77. Estate 1 - Wells Fargo - BCE Inc (X)	A	Dividend	J	T					
78. Estate 1 - Wells Fargo - Bristol Myers Squibb Co (X)	A	Dividend	J	T					
79. Estate 1 - Wells Fargo - Chevron Corporation (X)	A	Dividend	J	T					
80. Estate 1 - Wells Fargo - Coca-Cola Company (X)	A	Dividend	J	T					
81. Estate 1 - Wells Fargo - Conocophillips (X)	A	Dividend	J	T					
82. Estate 1 - Wells Fargo - Dominion Res Inc Va New (X)	A	Dividend	J	T					
83. Estate 1 - Wells Fargo - Eli Lilly & Co (X)	A	Dividend	J	T					
84. Estate 1 - Wells Fargo - Halyard Health Inc (X)	A	Distribution	J	T	Sold (part)	11/3/14	J	A	
85. Estate 1 - Wells Fargo - Kimberly-Clark Corp (X)		None	J	T					

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86. Estate 1 - Wells Fargo - Kinder Morgan Inc (X)	A	Dividend	J	T					
87. Estate 1 - Wells Fargo - Kraft Foods Group (X)	A	Dividend	J	T					
88. Estate 1 - Wells Fargo - McDonalds Corp (X)	A	Dividend	J	T					
89. Estate 1 - Wells Fargo - Merck & Co Inc New (X)		None	J	T					
90. Estate 1 - Wells Fargo - National Grid Plc Spon ADR New (X)		None	J	T					
91. Estate 1 - Wells Fargo - Philip Morris International Inc (X)		None	J	T					
92. Estate 1 - Wells Fargo - PPL Corporation (X)		None	J	T					
93. Estate 1 - Wells Fargo - Realty Income Corp Reit (X)	A	Dividend	J	T					
94. Estate 1 - Wells Fargo - Reynolds American Inc (X)		None	J	T					
95. Estate 1 - Wells Fargo - Royal Dutch Shell PLC (X)	A	Dividend	J	T					
96. Estate 1 - Wells Fargo - Senior Housing Prop Tr Reit (X)	A	Dividend	J	T					
97. Estate 1 - Wells Fargo - The Southern Company (X)	A	Dividend	J	T					
98. Estate 1 - Wells Fargo - Total S.A. Spons ADR (X)		None	J	T					
99. Estate 1 - Wells Fargo - Unilever Plc Spons ADR (X)	A	Dividend	J	T					
100. Estate 1 - Wells Fargo - Ventas Inc (X)	A	Dividend	J	T					
101. Estate 1 - Wells Fargo - Williams Companies (X)	A	Dividend	J	T					
102. Estate 1 - Wells Fargo - US Treasury Notes (X)	A	Interest	L	T					

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103. Estate 1 - Wells Fargo - FNMA Pass Thru Pool (X)	A	Interest	K	T					
104. Estate 1 - Wells Fargo - FHLMC Gold Pass Thru Pool (X)	A	Interest	J	T					
105. Estate 1 - Wells Fargo - Money Market (X)	A	Interest	N	T					

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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

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Name of Person Reporting

Carnes, Edward E.

Date of Report

05/01/2015

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

Became co-executor in Estate 1 on October 15, 2014. All assets in that estate are identified by '(X).'

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Carnes, Edward E.

Date of Report

05/01/2015

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
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One Columbus Circle, N.E.
Washington, D.C. 20544