

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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, DAVID O.	2. Court or Organization UNITED STATES DISTRICT COURT, CENTRAL DISTRICT OF CA	3. Date of Report 05/02/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Ronald Reagan Federal Building and United States Courthouse 411 West 4th Street, Suite 9-160 Santa Ana, California 92701		
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. Board Member	November 10th Association (Marine Corps)
2. Board Member	On Track (Stop Substance Abuse Among Children)
3. Advisory Board Member	KinderCamrarina (Encourage Minority Youth Re Education)
4. Board Member	Orange County Federal Bar Association
5. Judge Advocate/Sgt at Arms	1st Battalion 9th Marines Association
6. Board Member	Global Center on Cooperative Security, Counter Terrorism Executive Directorate, United Nations

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 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	State of CA - Judicial State Retirement. (Note: Moved from Part VII to Part III).	\$111,882.15
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.)*

DATE	SOURCE AND TYPE
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Global Center on Counter Terrorism, United Nations	02/03 - 02/10	Kathmandu, Nepal	Seminar	Transportation, Food & Lodging
2.	U.S. Department of Justice, OPDAT	03/23 - 04/01	Kuala Lumpur, Malaysia	Seminar	Transportation, Food & Lodging
3.	U.S. Patent and Trademark Office/Global Intellectual Property Academy	04/22 - 04/28	Baku, Azerbaijan	Seminar	Transportation, Food & Lodging
4.	Federal Judges Association	05/24 - 05/26	Washington, D.C.	Seminar	Transportation, Food & Lodging
5.	Global Center on Cooperative Security	06/02 - 06/09	Colombo, Sri Lanka	Seminar	Transportation, Food & Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

6.	Federal Judges Association	06/21 - 06/22	San Antonio, TX	Seminar	Transportation, Food & Lodging
7.	U.S. Department of Justice, OPDAT	07/14 - 07/22	Kuala Lumpur, Malaysia	Seminar	Transportation, Food & Lodging
8.	International Institute for Justice and the Rule of Law	08/18 - 08/24	Addis Ababa, Ethiopia	Seminar	Transportation, Food & Lodging
9.	U.S. Department of Justice, OPDAT	08/28 - 09/02	Budapest, Hungary	Seminar	Transportation, Food & Lodging
10.	U.S. Department of Justice, OPDAT	09/08 - 09/15	Pahang, Malaysia	Seminar	Transportation, Food & Lodging
11.	U.S. Patent and Trademark Office	09/23 - 09/30	Marrakech, Morocco	Seminar	Transportation, Food & Lodging
12.	CEELI Institute	10/11 - 10/14	Valletta, Malta	Seminar	Transportation, Food & Lodging
13.	CEELI Institute and the Federal Judicial Center	10/24 - 10/30	Bhopal, India	Seminar	Transportation, Food & Lodging
14.	International Judges Association/Federal Judges Association	11/11 - 11/18	Santiago, Chile	Seminar	Transportation, Food & Lodging
15.	U.S. Department of Commerce	12/1 - 12/6	Karachi, Pakistan	Seminar	Transportation, Food & Lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	United Chase Visa	Credit Card	None
2.	MasterCard Citibank	Credit Card	None
3.	MasterCard Chase	Credit Card	None
4.	Visa Citi Bank	Credit Card	None
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

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.	Rental Property #1, Orange County, California	E	Rent	O	W				
2.	Vacant Land #1 - Siskiyou County, California		None	M	W				
3.	Union Bank of CA	A	Interest	J	T				
4.	Vacant Land #2, Pugatory, Colorado		None	M	W				
5.	Wells Fargo Bank	A	Interest	J	T				
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

CARTER, DAVID O.

Date of Report

05/02/2018

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/ **DAVID O. 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
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