

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2006**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b>  CARTER, GENE	<b>2. Court or Organization</b>  U.S. DISTRICT COURT (MAINE)	<b>3. Date of Report</b>  05/08/2007
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  SENIOR U.S. DISTRICT JUDGE	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final  <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2006 to 12/31/2006
<b>7. Chambers or Office Address</b>  156 FEDERAL STREET PORTLAND, MAINE 04101	<b>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.</b>  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 instructions.)*

NONE *(No reportable positions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____

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 DISCLOSURE OFFICE

**II. AGREEMENTS.** *(Reporting individual only; see pp. 14-16 of 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 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.		
5.		

**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.	
5.	

**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1.	
2.	
3.	
4.	
5.	

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**V. GIFTS.** *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)* NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____
5.	_____	_____	_____

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**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Maine Health & Higher Education	A	Interest	K	T	redemption	1/03	J	C	
2. US Gov't Treasury Notes - Maturing 11/15/05 - 11/15/15	A	Interest	L	T					
3. Royce-Micro-Cap. Realty Trust, Inc.	A	Dividend	K	T					
4. Berkshire Hathaway Cl. B	A	Dividend	J	T					
5. U.S. Govt Treasury Notes Maturing 11/15/22	A	Interest	K	T					
6. Davis NY Venture Fund Class A	A	Dividend	L	T	partial sale	5/05	J	C	
7. Strategic Global Income Fund	A	Dividend	J	T					
8. Royce Value Trust Inc.	B	Dividend	K	T	partial sale	5/05	J	C	
9. Royce Value Trust Inc.	B	Dividend	K	T	partial sale	5/05	J	C	
10. American Balanced Fund	F	Dividend	L	T	sale	5/05	L	D	
11. Newmont Mining Co.	A	Dividend	K	T					
12. Duke Realty Inc.	C	Dividend	J	T					
13. Fording CDM Coal Trust	D	Dividend	J	T					
14. Kinder Morgan Energy	C	Dividend	J	T					
15. Duke Realty Corp.	A	Dividend	J	T	sale	4/06	J	A	
16. First Eagle Gold Fund	E	Dividend	K	T					
17. FPA Capital Fund	E	Dividend	K	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Hartford Capital Appreciation Fund	E	Dividend	K	T					
19. Oakmark Fund Class 1	E	Dividend	K	T	partial sale	5/05	J	A	
20. Third Avenue Value Fund	A	Dividend	J	T	sale	5/05	J	C	
21. Ace Limited Bermuda	B	Dividend	J	T					
22. Becton Dickson	B	Dividend	J	T					
23. Dineen Energy Corp.	B	Dividend	J	T					
24. HCA Inc.	B	Dividend	J	T					
25. Timberwest Forest CRP Stapled	B	Dividend	J	T					
26. Aberdeen Asia Pac. Income Fund	E	Dividend	K	T					
27. Petroleum Brasileiro	D	Dividend	J	T					
28. Newmont Mining Corp.	D	Dividend	J	T					
29. Gold Corp. Inc New	D	Dividend	J	T	buy	11/08	J		
30. U.S. Treasury Note-Int-Prot-Due 7/15/13	E	Interest	K	T					
31. U.S. Treasury Note-Int-Prot-Due 7/15/12	E	Interest	K	T					
32. First Eagle Gold Fund, Class A	D	Dividend	J	T					
33. Plum Creek Timber Co.	D	Dividend	J	T					
34. BHP Billiton Ltd.	D	Dividend	J	J	buy	11/08	J		

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35. TINT Bonds-Due 11/15/06-11/15/10	F	Interest	L	T					
36. New Zealand Govt. Ex Div.	A	Dividend	J	T					
37. First Trust Value Line	A	Dividend	J	T					
38. IShares Silver Trust	A	Dividend	J	T	buy	11/08	J		
39. Ivy Global NR Fund CI A	A	Dividend	J	T	buy	11/08	J		
40. Suncare Inc.	A	Dividend	J	T	buy	11/08	J		
41. Southern Copper Corp.	A	Dividend	J	T	buy	11/08	J		
42. Frontline Ltd.	A	Dividend	J	T	buy	11/08	J		
43. Barrick Gold Corp.	A	Dividend	J	T	buy	11/08	J		
44. Ivy Global Nat. Resources Fund	A	Dividend	J	T	buy	8/28	J		
45. Street Tracks Gold Trust	A	Dividend	K	T	buy	8/28	K		
46. Compania de Telefonos de Chile	A	Dividend	J	T	buy	4/06	J		
47. Compania de Telefonos de Chile	A	Dividend	J	T	sale	11/08	J		
48. Knightsbridge Tankers	A	Dividend	J	T	buy	4/06	J		
49. Knightsbridge Tankers	B	Dividend	J	T	sale	11/08	J		
50. Telecom Corp. New Zealand	A	Dividend	J	T	buy	4/06	J		
51. Telecom Corp. New Zealand	A	Dividend	J	T	partial sale	11/08	J	B	

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52.									

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



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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



Date

5/09/07

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