

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/09/2013
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) <input type="checkbox"/> Nomination Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input checked="" type="checkbox"/> Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
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. Insert signature on last page.		

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.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

CARTER, ANDREW L.

Date of Report

05/09/2013

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> <i>(yours, not spouse's)</i>
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. 1/12-12/12	BANK--SALARY
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. Just The Beginning Foundation	9/20/2012-9/23/2012	Chicago, IL	Just The Beginning Foundation Conference	Subsidized Food and Lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting CARTER, ANDREW L.	Date of Report 05/09/2013
--	------------------------------

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. FACTS MANAGEMENT	TUITION ██████████ SCHOOL	L
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting CARTER, ANDREW L.	Date of Report 05/09/2013
--	------------------------------

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 INDEX 500	A	Dividend	K	T						
3.	VANGUARD STAR FUND (IRA)	A	Dividend	J	T						
4.	FIDELITY CONTRA FUND (IRA)		None	L	T						
5.	FIDELITY TOTAL BOND INDEX FUND (IRA)		None	L	T						
6.	J.P. MORGAN STABLE VALUE (401K)		None	J	T						
7.	J.P. MORGAN CHASE COMMON STOCK FUND (IRA)	B	Dividend	K	T						
8.	J.P. MORGAN CHASE AGG. PORTFOLIO (401K)		None	L	T						
9.	J.P. MORGAN CHASE MOD. AGG (401K)		None	M	T						
10.	J.P. MORGAN PENSION	D	Interest	L	T						
11.	CITADEL BROADCASTING GROUP (STOCK)		None	J	T						
12.	DISNEY WALT CO. (STOCK)	A	Dividend	J	T						
13.	EXXON MOBIL CO. (STOCK)	A	Dividend	J	T						
14.	MATTEL (STOCK)	A	Dividend	J	T						
15.	MERCK AND CO. (STOCK)	A	Dividend	J	T						
16.	TIME WARNER INC. (STOCK)	A	Dividend	J	T						
17.	J.P. MORGAN CHASE SAVINGS ACCT.	A	Interest	L	T						

1. Income Gain Codes: A=\$1,000 or less B=\$1,001 - \$2,500 C=\$2,501 - \$5,000 D=\$5,001 - \$15,000 E=\$15,001 - \$50,000
 (See Columns B1 and D4) F=\$50,001 - \$100,000 G=\$100,001 - \$1,000,000 H1=\$1,000,001 - \$5,000,000 H2=More than \$5,000,000

2. Value Codes J=\$15,000 or less K=\$15,001 - \$50,000 L=\$50,001 - \$100,000 M=\$100,001 - \$250,000
 (See Columns C1 and D3) N=\$250,001 - \$500,000 O=\$500,001 - \$1,000,000 P1=\$1,000,001 - \$5,000,000 P2=\$5,000,001 - \$25,000,000
 P3=\$25,000,001 - \$50,000,000 P4=More than \$50,000,000

3. Value Method Codes Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
 (See Column C2) U=Book Value V=Other W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

CARTER, ANDREW L.

Date of Report

05/09/2013

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.	B.		C.		D.				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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.	NY 529 MODERATE GROWTH		None	K	T				
19.	NY 529 GROWTH		None	K	T				
20.	NY 529 BOND MKT. INDEX	A	Interest	J	T				
21.	NY 529 MOD AGE BASED		None	K	T				
22.	REALESTATE	E	Rent	O	R				
23.	J.P. MORGAN COMMON STOCK	A	Dividend	J	T				
24.	J.P. MORGAN RESTRICTED STOCK		None	J	T				
25.	J.P. MORGAN STOCK OPTIONS	D	None	J	T	Sold (part)	09/18/12	J	D
26.	REAL ESTATE	A	Rent	L	R				
27.	WELLS FARGO MONEY MARKET	A	Interest	K	T				
28.	AMERICAN CENTURY MONEY MARKET	A	Interest	J	T				
29.	MEDCO (x)	A	Dividend	J	T	Spinoff (from line 15)		J	
30.	MEDCO (x)	A	Dividend	J	T	Merged (with line 31)	04/03/12	J	A
31.	Express Scripts HLDG co.	A	Dividend	J	T	Open	04/03/12	J	A
32.									

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$5,000,000
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 \$5,000,000	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	Date of Report
CARTER, ANDREW L.	05/09/2013

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

In Part VII, line 22, 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 26, 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.

MEDCO was previously owned by Merck (line 15). MEDCO spun off of Merck. MEDCO was inadvertently left off of my previous report. In April 2012, MEDCO merged with Express Scripts HLDG Co.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

CARTER, ANDREW L.

Date of Report

05/09/2013

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