Andrew L. Carter, Jr., 2013 Financial Disclosure, District Court Judge, S.D.N.Y.

No.	Andrew L. Carter, 2013 Financial Disclosure	Ticker	Facebook, Inc	CGI Group, Inc	Athenahealth	Castlight Health, Inc	Tesla Motors, Inc	Baidu, Inc (China)	LinkedIn	D E Shaw Investment Management LLC	Groupon, Inc	Mail ru	Zynga, Inc	Accenture PLC Class A	Baillie Gifford	Goldman Sachs Group, Inc	Morgan Stanley	JPMorgan Chase	State Street Corp	Bank of America Corp	Citigroup	Citigroup	Microsoft / Expedia	Nokia	Red Hat	IBM
	Legend:		X	= investments in, or closely aligned to Facebook (stakeholders, underwriters, major stockholders, key strategic allies, etc.)																					
	Income and Value:																								
1	American Century Money Market																								
2	Citadel Broadcasting Group (Stock)																								
3	Disney Walt Co. (Stock)																								
4	Express Scripts HLDG co.																								
5	Exxon Mobil Co. (Stock)																								
6	Fidelity Contra Fund (IRA)	FCNTX	X	X			X		X								X	X				X	X			
7	Fidelity Total Bond Index Fund (IRA)	FTBFX														X	X	X				X				
8	JP Morgan Chase Agg. Portfolio (401K)																	X								
9	JP Morgan Chase Common Stock Fund (IRA)	Info																X								
10	JP Morgan Chase Mod. Agg (401K)																	X								
11	JP Morgan Chase Savings Acct.																	X								
12	JP Morgan Pension																									
13	JP Morgan Stable Value (401K)																	X								
14	Mattel (Stock)																									
15	Medco (x)																									
16	Medco (x)																									
17	Merck and Co (Stock)																									
18	NY 529 Bond Mkt. Index																									
19	NY 529 Growth																									
20	NY 529 Mod Age Based																									
21	NY 529 Moderate Growth																									
22	Real Estate (Rent)																									
23	Time Warner Inc. (Stock)																									
24	Vanguard Index 500 (IRA)	VFINX	X											X		X	X	X					X		X	X
25	Vanguard Index 500 (IRA)	VFINX	X											X		X	X	X					X		X	X
26	Vanguard Star Fund (IRA)	VGSTX	X															X								
27	Wells Fargo Money Market																									
	Total		4	1	0	0	1	0	1	0	0	0	0	2	0	3	4	10	0	0	0	2	3	0	2	2
	Cumulative Total		4	8	8	11	12	12	13	13	13	13	13	15	15	18	22	32	32	32	32	34	37	37	39	41

No.	Andrew L. Carter, 2013 Financial Disclosure	T Rowe Price	BlackRock, Inc	Wal-Mart	Verisign	AOL	Xerox	Workday	Boston Scientific	DropBox, Inc (Goldman Sachs)	Vanguard Group / Mkt Liquidity Fund	Fidelity Central Cash Fund	Fidelity Securities Lending Cash Central Fund	T Rowe Price Reserve	Janus Cash Liquidity Fund	MFS Institutional Money Market Portfolio	AT&T	Verizon	Century Link	CBS Corporation	NBC - Comcast	ABC - Walt Disney Company	FOX - News Corp	Time Warner Cable
	Legend:																							
	Income and Value:																							
1	American Century Money Market																							
2	Citadel Broadcasting Group (Stock)																							
3	Disney Walt Co. (Stock)																							
4	Express Scripts HLDG co.																							
5	Exxon Mobil Co. (Stock)																							
6	Fidelity Contra Fund (IRA)		X	X				X		X		X	X							X	X	X		
7	Fidelity Total Bond Index Fund (IRA)											X	X				X		X	X				X
8	JP Morgan Chase Agg. Portfolio (401K)																							
9	JP Morgan Chase Common Stock Fund (IRA)																							
10	JP Morgan Chase Mod. Agg (401K)																							
11	JP Morgan Chase Savings Acct.																							
12	JP Morgan Pension																							
13	JP Morgan Stable Value (401K)																							
14	Mattel (Stock)																							
15	Medco (x)																							
16	Medco (x)																							
17	Merck and Co (Stock)																							
18	NY 529 Bond Mkt. Index																							
19	NY 529 Growth																							
20	NY 529 Mod Age Based																							
21	NY 529 Moderate Growth																							
22	Real Estate (Rent)																							
23	Time Warner Inc. (Stock)																							X
24	Vanguard Index 500 (IRA)	X	X	X			X				X								X	X	X	X	X	X
25	Vanguard Index 500 (IRA)	X	X	X			X				X								X	X	X	X	X	X
26	Vanguard Star Fund (IRA)										X													
27	Wells Fargo Money Market																							
	Total	2	3	3	0	0	2	1	0	1	3	2	2	0	0	0	1	0	3	4	3	3	2	4
	Cumulative Total	43	46	49	49	49	51	52	52	53	56	58	60	60	60	60	61	61	64	68	71	74	76	80

No.	Andrew L. Carter, 2013 Financial Disclosure	J $0 15,000	K $15,001 50,000	L $50,001 100,000	M $100,001 250,000	N $250,001 500,000	O $500,001 1,000,000	P1 $1,000,001 5,000,000	TOTAL INVESTED ($, up to)
	Legend:	J	K	L	M	N	O	P1	
	Income and Value:								
1	American Century Money Market	15,000							$ 15,000
2	Citadel Broadcasting Group (Stock)	15,000							$ 15,000
3	Disney Walt Co. (Stock)	15,000							$ 15,000
4	Express Scripts HLDG co.	15,000							$ 15,000
5	Exxon Mobil Co. (Stock)	15,000							$ 15,000
6	Fidelity Contra Fund (IRA)			100,000					$ 100,000
7	Fidelity Total Bond Index Fund (IRA)			100,000					$ 100,000
8	JP Morgan Chase Agg. Portfolio (401K)			100,000					$ 100,000
9	JP Morgan Chase Common Stock Fund (IRA)		50,000						$ 50,000
10	JP Morgan Chase Mod. Agg (401K)				250,000				$ 250,000
11	JP Morgan Chase Savings Acct.			100,000					$ 100,000
12	JP Morgan Pension			100,000					$ 100,000
13	JP Morgan Stable Value (401K)	15,000							$ 15,000
14	Mattel (Stock)	15,000							$ 15,000
15	Medco (x)	15,000							$ 15,000
16	Medco (x)	15,000							$ 15,000
17	Merck and Co (Stock)	15,000							$ 15,000
18	NY 529 Bond Mkt. Index	15,000							$ 15,000
19	NY 529 Growth		50,000						$ 50,000
20	NY 529 Mod Age Based		50,000						$ 50,000
21	NY 529 Moderate Growth		50,000						$ 50,000
22	Real Estate (Rent)						1,000,000		$ 1,000,000
23	Time Warner Inc. (Stock)	15,000							$ 15,000
24	Vanguard Index 500 (IRA)				250,000				$ 250,000
25	Vanguard Index 500 (IRA)		50,000						$ 50,000
26	Vanguard Star Fund (IRA)	15,000							$ 15,000
27	Wells Fargo Money Market		50,000						$ 50,000
	Total	$ 195,000	$ 300,000	$ 500,000	$ 500,000	$ -	$ 1,000,000	$ -	$ 2,495,000
	Cumulative Total	$ 195 000	$ 495 000	$ 995 000	$ 1 495 000	$ 1 495 000	$ 2 495 000	$ 2 495 000	

Facebook Shares as of June 30, 2012

RANK	NAME	TOTAL AUM	FB SHARES AS OF JUNE 30
1	Goldman Sachs Asset Management, L.P. (U.S.)	82,329.1	36,634,486.0
2	Baillie Gifford & Company	60,809.1	19,380,440.0
3	Fidelity Management & Research Company	544,656.5	18,774,915.0
4	T. Rowe Price Associates, Inc.	338,744.6	18,663,997.0
5	Morgan Stanley Investment Management, Inc. (U.S.) 54,113.2	54,113.2	16,362,788.0
6	BlackRock Fund Advisors	768,143.8	11,690,656.0
7	Sands Capital Management, LLC	22,157.4	11,649,292.0
8	Jennison Associates, LLC	80,316.4	9,691,825.0
9	The Vanguard Group, Inc.	908,526.5	9,582,480.0
10	Capital Research Global Investors (U.S.)	366,059.2	8,273,200.0

Source: "Who Else Has a Big Bet on Facebook" by Telis Demos, *The Wall Street Journal*, Aug. 24, 2012

Facebook "Dark Pools" Holdings

JP Morgan	8
Vanguard	3
Fidelity	2
TOTAL HOLDINGS:	13

AO 10 Rev. 1/2012	**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)	**2. Court or Organization**	**3. Date of Report**
CARTER, ANDREW L.	SOUTHERN DISTRICT OF NEW YORK	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)** ☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
CARTER, ANDREW L.	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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
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.)*

	DATE	SOURCE AND TYPE
1.	1/12 12/12	[redacted] 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.					

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.	FACTS MANAGEMENT	TUITION [redacted] SCHOOL	L
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
CARTER, ANDREW L.	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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (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: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
CARTER, ANDREW L.	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 (1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J P)	(2) Value Method Code 3 (Q W)	D. Transactions during reporting period (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 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	

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.

Name of Person Reporting	Date of Report
CARTER, ANDREW L.	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