AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Carnes, Edward E.	11th Circuit Court of Appeals	03/21/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Circuit Judge (senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
U.S. Courthouse One Church Street 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Co-Executor	Estate #1 (reportable assets are listed in Part VII)
2.	Co-Trustee	Trust #1 (reportable assets are listed in Part VII)
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2010	State of Alabama Defined Benefit Pension Plan (no control)
2.		
3.		

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.	2021	State of Alabama - Retirement Income	$29,899.08
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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Carnes, Edward E.	03/21/2022

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.			

Name of Person Reporting	Date of Report
Carnes, Edward E.	03/21/2022

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)
1. Individual Assets (H)									
2. Regions Bank (cash)	A	Interest	M	T					
3. Synovous Bank (cash)	C	Interest	N	T					
4. RSA-1 Deferred Compensation Account (State of Alabama)	C	Interest	M	T					
5. PEIRAF Deductible Emp. Contributions (State of Alabama)	C	Interest	M	T					
6. First Southern State Bank (cash)		None	J	T					
7. Account #1 (H)									
8. Vanguard Prime Money Market Fund (VMRXX)	A	Dividend	L	T					
9. Account #2 (H)									
10. Vanguard Healthcare Investor (VGHCX)	A	Dividend	J	T					
11. Vanguard Growth & Income Admiral (VGIAX)	E	Dividend	M	T	Sold (part)	01/29/21	K	D	
12. Vanguard Limited Term Tax Exempt Investor (VMLTX)	A	Dividend	J	T					
13. Vanguard Global Minimum Volalitity Admiral (VMNVX)	C	Dividend	L	T	Sold (part)	01/29/21	K	C	
14. Vanguard Short Term Corp Bond Index (VSCSX)	A	Dividend	J	T					
15. Vanguard US Growth Admiral (VWUAX)	E	Dividend	N	T	Sold (part)	01/29/21	M	F	
16. Account #3 (H)									
17. Wells Fargo Bank (cash)	A	Interest	J	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
Carnes, Edward E.	03/21/2022

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. AT&T Inc (T)	A	Dividend			Sold	08/30/21	K		
19. Bristol Myers Squibb Co (BMYU)	A	Dividend	J	T	Sold (part)	11/16/21	J		
20. Chevron Corporation (CVX)	A	Dividend	J	T					
21. Coca-Cola Company (KO)	A	Dividend	J	T	Sold (part)	11/16/21	J		
22. Dominion Energy Inc (D)	A	Dividend	J	T	Sold (part)	11/16/21	J		
23. Duke Energy Corp Com New (DUK)	A	Dividend	J	T	Sold (part)	11/16/21	J		
24. Eli Lilly & Co (LLY)	A	Dividend	J	T	Sold (part)	11/16/21	J		
25. Glaxosmithkline PLC-ADR (GSK)	A	Dividend	J	T	Sold (part)	11/16/21	J		
26. Johnson & Johnson (JNJ)	A	Dividend	J	T	Sold (part)	11/16/21	J		
27. Kimberly-Clark Corp (KMB)	A	Dividend	J	T	Sold (part)	11/16/21	J		
28. McDonalds Corp (MCD)	A	Dividend	J	T	Sold (part)	11/16/21	J		
29. Merck & Co Inc New (MRK)	A	Dividend	J	T	Sold (part)	11/16/21	J		
30. Pepsico Incorporated (PEP)	A	Dividend	J	T	Sold (part)	11/16/21	J		
31. Procter & Gamble Co (PG)	A	Dividend	J	T	Sold (part)	11/16/21	J		
32. Realty Income Corp Reit (O)	A	Dividend	J	T	Sold (part)	11/16/21	J		
33. Royal Dutch Shell PLC (RDS/B)	A	Dividend	J	T	Sold (part)	11/16/21	J		
34. The Southern Company (SO)	A	Dividend	J	T	Sold (part)	11/16/21	J		

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	
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35. Verizon Communications Com (VZ)	A	Dividend	J	T	Sold (part)	11/16/21	J		
36. Welltower Inc (WELL)	A	Dividend	J	T	Sold (part)	11/16/21	J		
37. Account #4 (H)									
38. Vanguard Federal Money Market Fund (VMFXX) (cash)	A	Dividend	O	T					
39. Vanguard Cash Reserves Federal Money Market (VMRXX)	A	Dividend	M	T	Buy	04/21/21	M		
40. Vanguard Prime Money Market Fund (VMMXX)	A	Dividend			Sold	04/21/21	M		

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	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		
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	U =Book Value	V =Other	W =Estimated		

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

Part VII, line 6, is non-interest bearing.

Name of Person Reporting	Date of Report
Carnes, Edward E.	03/21/2022

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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