AO 10
Rev. 1/2021

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 | 05/05/2023 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022<br>**to**<br>12/31/2022 |
| **7. Chambers or Office Address** | | |
| U.S. Courthouse<br>One Church Street<br>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 and Deferred Compensation (no control) |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Carnes, Edward E.** | 05/05/2023 |

## 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. | 2022 | State of Alabama - Retirement Income | $30,311.08 |
| 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. | | | | | |

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## 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.** | 05/05/2023 |

## 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. Individual Assets (H) | | | | | | | | | |
| 2. Regions Bank (cash) | A | Interest | M | T | | | | | |
| 3. Synovous Bank (cash) | A | Interest | | | Closed | 12/19/22 | K | | |
| 4. RSA-1 Deferred Compensation Account (State of Alabama) | C | Interest | M | T | Distributed (part) | 12/30/22 | J | | |
| 5. PEIRAF Deductible Emp. Contributions (State of Alabama) | D | 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 Federal Money Market Fund (cash equiv.) | A | Dividend | L | T | Sold (part) | 06/09/22 | J | | |
| 11. Vanguard Healthcare Investor (VGHCX) | A | Dividend | J | T | | | | | |
| 12. Vanguard Growth & Income Admiral (VGIAX) | D | Dividend | M | T | | | | | |
| 13. Vanguard Limited Term Tax Exempt Investor (VMLTX) | A | Dividend | J | T | | | | | |
| 14. Vanguard Global Minimum Volalitity Admiral (VMNVX) | C | Dividend | L | T | | | | | |
| 15. Vanguard Cash Reserves Fed Money Market Adm (VMRXX) (cash eq.) | A | Dividend | J | T | | | | | |
| 16. Vanguard Short Term Corp Bond Index (VSCSX) | A | Dividend | J | T | | | | | |
| 17. Vanguard US Growth Admiral (VWUAX) | B | Dividend | M | 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 |
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| **Carnes, Edward E.** | 05/05/2023 |

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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 (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) |
|---|---|---|---|---|---|---|---|---|---|
| 18. Account #3 (H) | | | | | | | | | |
| 19. Wells Fargo Bank (cash) | A | Interest | | | Closed | 03/11/22 | J | | |
| 20. Bristol Myers Squibb Co (BMYU) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 21. Chevron Corporation (CVX) | | None | | | Sold | 01/13/22 | J | | |
| 22. Coca-Cola Company (KO) | | None | | | Sold | 01/13/22 | J | | |
| 23. Dominion Energy Inc (D) | | None | | | Sold | 01/13/22 | J | | |
| 24. Duke Energy Corp Com New (DUK) | | None | | | Sold | 01/13/22 | J | | |
| 25. Eli Lilly & Co (LLY) | | None | | | Sold | 01/13/22 | J | | |
| 26. Glaxosmithkline PLC-ADR (GSK) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 27. Johnson & Johnson (JNJ) | | None | | | Sold | 01/13/22 | J | | |
| 28. Kimberly-Clark Corp (KMB) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 29. McDonalds Corp (MCD) | | None | | | Sold | 01/13/22 | J | | |
| 30. Merck & Co Inc New (MRK) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 31. Pepsico Incorporated (PEP) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 32. Procter & Gamble Co (PG) | | None | | | Sold | 01/13/22 | J | | |
| 33. Realty Income Corp Reit (O) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 34. Royal Dutch Shell PLC (RDS/B) | | None | | | Sold | 01/13/22 | J | | |

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| **Carnes, Edward E.** | 05/05/2023 |

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|---|---|---|---|---|---|---|---|---|---|
| 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) |
| 35. The Southern Company (SO) | | None | | | Sold | 01/13/22 | J | | |
| 36. Verizon Communications Com (VZ) | A | Dividend | | | Sold | 01/13/22 | J | | |
| 37. Welltower Inc (WELL) | | None | | | Sold | 01/13/22 | J | | |
| 38. Account #4 (H) | | | | | | | | | |
| 39. Vanguard Federal Money Market Fund (VMFXX) (cash eq.) | C | Dividend | O | T | | | | | |
| 40. Vanguard Cash Reserves Federal Money Market (VMRXX) (cash eq.) | A | Dividend | M | T | | | | | |
| 41. SOFI Bank (cash) | | None | M | T | Open | 10/21/22 | M | | |

| | | | | | |
|---|---|---|---|---|---|
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| | U =Book Value | V =Other | W =Estimated | | |

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

| Name of Person Reporting | Date of Report |
|---|---|
| **Carnes, Edward E.** | 05/05/2023 |

## 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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