Filing ID #10016015

# Financial Disclosure Report

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## Filer Information

**Name:** Hon. Richard W. Allen
**Status:** Member
**State/District:** GA12

## Filing Information

**Filing Type:** Annual Report
**Filing Year:** 2016
**Filing Date:** 05/17/2017

## Schedule A: Assets and "Unearned" Income

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| 1015 Broad Street LLC<br>Location: Augusta, GA, US | | $1,000,001 - $5,000,000 | Rent | $5,001 - $15,000 | ☐ |
| Bank of America Corporation (BAC) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| BB&T Corporation (BBT) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Georgia Bank & Trust (now South State Bank) | JT | $15,001 - $50,000 | Interest | $1 - $200 | ☐ |
| Greenway Messenger LLC, 5% Interest<br>Description: Investment Company formed for the purpose of investing in Isommune LLC a Delaware company; Greenway messenger is based in Bowdon, GA | JT | $100,001 - $250,000 | None | | ☑ |
| LPL Financial Retirement Account ⇒<br>AQR Large Cap Muti Style Cl N | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| LPL Financial Retirement Account ⇒<br>AQR Managed Futures Strategy CL N | | $15,001 - $50,000 | Tax-Deferred | | ☑ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| LPL Financial Retirement Account ⇒ AQR Small Cap Multi style CL N | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| LPL Financial Retirement Account ⇒ AQR Style Premia Alternative Cl N | | $15,001 - $50,000 | Capital Gains | $1,001 - $2,500 | ☑ |
| LPL Financial Retirement Account ⇒ Atlas Enhanced Access Fund<br>Description: Investment company | | $100,001 - $250,000 | Tax-Deferred | | ☑ |
| LPL Financial Retirement Account ⇒ DFA Emerging Market Markets Core Equity CLI | | $15,001 - $50,000 | Tax-Deferred | | ☑ |
| LPL Financial Retirement Account ⇒ DFA Intl Core Equity CL I | | $15,001 - $50,000 | Tax-Deferred | | ☐ |
| LPL Financial Retirement Account ⇒ DFA U.S. Core Equity CL | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| LPL Financial Retirement Account ⇒ Doubletreee Total Return Bond CL N | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| LPL Financial Retirement Account ⇒ Pimco Income CL D | | $50,001 - $100,000 | Tax-Deferred | | ☑ |
| Merrill Edge IRA ⇒ Columbia Marisco Focused Equity Class A | SP | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| Principal Financial IRA ⇒ Large US Equity | SP | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| Principal Financial IRA ⇒ Prin Fin Gp Inc. Stk SEP acct | SP | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| Principal Financial IRA ⇒ Short Term Fixed Income | SP | $15,001 - $50,000 | None | | ☐ |
| Principal Financial IRA ⇒ Small/Mid US Equty | SP | $1,001 - $15,000 | Tax-Deferred | | ☐ |
| RAWA Leasing Equipment<br>Location: Augusta, GA, US | | $100,001 - $250,000 | Rent | $100,001 - $1,000,000 | ☐ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > $1,000? |
|---|---|---|---|---|---|
| Residential Rental Property<br><br>LOCATION: Cashiers, NC, US | | $1,000,001 - $5,000,000 | Rent | $5,001 - $15,000 | ☐ |
| RW Allen & Associates INC, 100% Interest<br><br>LOCATION: Augusta, GA, US<br>DESCRIPTION: Salary; | SP | $5,000,001 - $25,000,000 | Distribution | $100,001 - $1,000,000 | ☐ |
| RW Allen LLC, 40% Interest<br><br>LOCATION: Augusta, GA, US<br>DESCRIPTION: Salary | SP | $5,000,001 - $25,000,000 | Salary | $100,001 - $1,000,000 | ☐ |
| Synovus Financial Corp. (SNV) | SP | $1,001 - $15,000 | Dividends | $1 - $200 | ☐ |
| Total System Services, Inc. (TSS) | SP | $15,001 - $50,000 | Dividends | $1 - $200 | ☐ |
| Wells Fargo, Bank Account | JT | $1,001 - $15,000 | Interest | $1 - $200 | ☐ |

* Asset class details available at the bottom of this form.

## SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| Greenway Messenger LLC<br><br>LOCATION: Bowdon, GA, US<br>DESCRIPTION: Investment shares of Greenway Messenger LLC an investment Company formed for the purpose of investing in Isommune LLC a Deleware company; | JT | 07/21/2016 | P | $100,001 - $250,000 | |
| LPL Financial Retirement Account ⇒ AQR Managed Futures Strategy CL N | | 02/8/2016 | S (partial) | $1,001 - $15,000 | ☐ |
| LPL Financial Retirement Account ⇒ AQR Style Premia Alternative Cl N | | 02/8/2016 | S (partial) | $15,001 - $50,000 | ☑ |
| LPL Financial Retirement Account ⇒ Atlas Enhanced Access Fund | | 02/19/2016 | P | $100,001 - $250,000 | |
| LPL Financial Retirement Account ⇒ DFA Emerging Market Markets Core Equity CLI | | 02/8/2016 | S (partial) | $1,001 - $15,000 | ☐ |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > $200? |
|---|---|---|---|---|---|
| LPL Financial Retirement Account ⇒ DFA U.S. Core Equity CL | | 02/8/2016 | S (partial) | $15,001 - $50,000 | ☐ |
| LPL Financial Retirement Account ⇒ Doubleline Total Return Bond CL N | | 02/8/2016 | S (partial) | $15,001 - $50,000 | ☐ |
| LPL Financial Retirement Account ⇒ Pimco Income CL D Fund | | 02/8/2016 | S (partial) | $15,001 - $50,000 | ☐ |

* Asset class details available at the bottom of this form.

## Schedule C: Earned Income

| Source | Type | Amount |
|---|---|---|
| RW Allen LLC | spouse salary | N/A |
| RW Allen & Associates INC | spouse salary | N/A |

## Schedule D: Liabilities

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|---|---|---|---|---|
| | Georgia Bank & Trust, Augusta, GA | 11/2008 | Mortgage on Commercial Rental Property, Broad Street, Augusta, GA | $100,001 - $250,000 |
| | Wells Fargo, Augusta, Ga | 10/2010 | Mortgage on Primary Residence, Augusta, Ga | $250,001 - $500,000 |
| | Georgia Bank & Trust, Augusta, GA | 12/2014 | Mortgage on Secondary Residence, Washington, D.C. | $500,001 - $1,000,000 |

## Schedule E: Positions

None disclosed.

## Schedule F: Agreements

None disclosed.

## Schedule G: Gifts

None disclosed.

## Schedule H: Travel Payments and Reimbursements

None disclosed.

## Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

## Schedule A and B Asset Class Details

- LPL Financial Retirement Account
- Merrill Edge IRA (Owner: SP)
- Principal Financial IRA (Owner: SP)

## Exclusions of Spouse, Dependent, or Trust Information

**IPO**: Did you purchase any shares that were allocated as a part of an Initial Public Offering?
( ) Yes (•) No

**Trusts**: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?
( ) Yes (•) No

**Exemption**: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?
( ) Yes (•) No

## Certification and Signature

[x] I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Richard W. Allen , 05/17/2017