Filing ID #10020407

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: 2017
Filing Date: 05/14/2018

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
1015 Broad Street LLC [RP]		$1,000,001 - $5,000,000	Rent	$5,001 - $15,000	
Location: Augusta, GA, US					
Bank of America Corporation (BAC) [ST]	SP	$1,001 - $15,000	Dividends	$1 - $200	
BB&T Corporation (BBT) [ST]	SP	$1,001 - $15,000	Dividends	$201 - $1,000	
Description: Stock Dividends owned by spouse					
Greenway Messenger LLC, 5% Interest [HE]	JT	$100,001 - $250,000	None		
Description: Investment Company formed for the purpose of investing in Isommune LLC a Delaware company; Greenway messenger is based in Bowdon, GA					
Inherited IRA - 2016 ⇒ AB Funds AB Income Fund Advisor Class Share ACGYX [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Allianzgi NFJ Divid Int & Prem Strategy Fund NFJ [MF]	SP	$1,001 - $15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Inherited IRA - 2016 ⇒ American Capital, Ltd. (ACAS) [ST]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Bank Of America 7.25% Series L Convertible 12/31/49 BAC'L [CS] Description: Preferred/Fixed Rate Cap Securities	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ BB&T Corporation (BBT) [ST]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Blackrock Enhanced Capital and Income FD CII [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Deutsche Bank 805% PFD Cont Cap TR V [CS] Description: Preferred/Fixed Rate Cap Securities	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Eaon Vance Enhanced Enahnced Income Fund EOI [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Eaon Vance Enhanced Equity Income Fund II EOS [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Eaon Vance Tax-Managed Global Diversified Equity Inc EXG [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Exxon Mobil Corporation (XOM) [ST]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ GDL Fund Common Shares Ben Int GDl [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ General Elec Cap Corp Medium Term Internotes [CS] Description: .	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Guggenheim Enhanced Eqty Strategy Fund GGE [MF]	SP	$1,001 - $15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
Inherited IRA - 2016 ⇒ Income Fund Amer Inc Class A AMECX [MF]	SP	$50,001 - $100,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Investment Co America Clas A AIVSX [MF]	SP	$100,001 - $250,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Nuveen S&P 500 Buy-Write Inc BXMX [MF]	SP	$1,001 - $15,000	Tax-Deferred		
Inherited IRA - 2016 ⇒ Realty Income Corp [EF]	SP	$15,001 - $50,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ AQMIX AQR MANAGED FUTURES STRATEGY CL Ir [MF]		$15,001 - $50,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ Atlas Enhanced Access Fund LP Class A [MF]		$100,001 - $250,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ Columbia Marisco Focused Equity Class A [MF]	SP	$1,001 - $15,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ DBLTX DFA DOUBLELINE TOTAL RETURN BOND CL Ir [MF]		$50,001 - $100,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ DFCEX DFA EMERGING MARKETS CORE EQUITY CL Ir [MF]		$15,001 - $50,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ DFIEX DFA INTL CORE EQUITY CL Ir [MF]		$15,001 - $50,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ DFQTX DFA U S CORE EQUITY 2 INSTL CL r [MF]		$50,001 - $100,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ Large US Equity [MF]	SP	$1,001 - $15,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ PONPX PIMCO INCOME CL Ir [MF]		$50,001 - $100,000	Tax-Deferred		
LPL Financial Retirement Account ⇒ Prin fin Gp Inc Stk SEP acct [MF]	SP	$1,001 - $15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > $1,000?
LPL Financial Retirement Account ⇒ QCELX AQR LARGE CAP MULTI STYLE CL Ir [MF]		$50,001 - $100,000	Tax-Deferred		☐
LPL Financial Retirement Account ⇒ QSMLX AQR SMALL CAP MULTI STYLE CL Ir [MF]		$15,001 - $50,000	Tax-Deferred		☐
LPL Financial Retirement Account ⇒ QSPIX AQR STYLE PREMIA ALTERNATIVE CL Ir [MF]		$50,001 - $100,000	Tax-Deferred		☐
LPL Financial Retirement Account ⇒ Short Term Fixed Income [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
LPL Financial Retirement Account ⇒ Small/Mid US Equity [MF]	SP	$1,001 - $15,000	Tax-Deferred		☐
RAWA Leasing Equipment [RP] Location: Augusta, GA, US		$100,001 - $250,000	Rent	$100,001 - $1,000,000	☐
RW Allen & Associates INC, 100% Interest [OL] Location: Augusta, GA, US Description: Salary;	SP	$5,000,001 - $25,000,000	Distribution	$100,001 - $1,000,000	☐
RW Allen LLC, 40% Interest [OL] Location: Augusta, GA, US Description: Salary	SP	$5,000,001 - $25,000,000	Salary	$100,001 - $1,000,000	☐
South State Bank [BA]	JT	$100,001 - $250,000	Interest	$1 - $200	☐
Synovus Financial Corp. (SNV) [ST]	SP	$1,001 - $15,000	Dividends	$1 - $200	☐
Total System Services, Inc. (TSS) [ST]	SP	$15,001 - $50,000	Dividends	$201 - $1,000	☐
Wells Fargo Bank [BA]	JT	$1,001 - $15,000	None		☐

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit https://fd.house.gov/reference/asset-type-codes.aspx.

Schedule B: Transactions

None disclosed.

Schedule C: Earned Income

Source	Type	Amount
RW Allen & Associates, Inc	Spouse	N/A
RW Allen LLC	Spouse	N/A
Inherited IRA	Spouse	N/A

Schedule D: Liabilities

Owner	Creditor	Date Incurred	Type	Amount of Liability
	South State Bank (Formerly 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
	South State Bank (Formerly 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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Heritage Foundation	02/8/2017	02/10/2017	DC - New York City - DC	0	☑	☑	☑

Schedule I: Payments Made to Charity in Lieu of Honoraria

None disclosed.

Schedule A and B Asset Class Details

- Inherited IRA - 2016 (Owner: SP)
- LPL Financial Retirement Account
- LPL Financial Retirement Account (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

☑ 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 , 05/14/2018