

# PERIODIC TRANSACTION REPORT

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## FILER INFORMATION

Name: Hon. Richard W. Allen

**Status:** Member **State/District:** GA12

#### **TRANSACTIONS**

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
2000086356	SP	3M Company (MMM) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA	-, .,	05/20/2020	\$15,001 - \$50,000	
	SP	3M Company (MMM) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	05/14/2020	06/05/2020	\$1,001 - \$15,000	
		3M Company (MMM) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&		09/05/2019	\$15,001 - \$50,000	
	SP	3M Company (MMM) [ST]  FILING STATUS: New SUBHOLDING OF: LIVTR	P	06/19/2019	07/05/2019	\$15,001 - \$50,000	
	SP	3M Company (MMM) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	05/17/2019	06/05/2019	\$1,001 - \$15,000	
	SP	Abbott Laboratories (ABT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	09/27/2019	10/05/2019	\$15,001 - \$50,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Abbott Laboratories (ABT) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	09/13/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
	SP	AbbVie Inc. (ABBV) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8		06/05/2020	\$15,001 - \$50,000	
	SP	AbbVie Inc. (ABBV) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	11/16/2020 &A - Securities	12/05/2020	\$15,001 - \$50,000	
	SP	Accenture plc Class A Ordinary Shares (ACN) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA&	03/14/2023 &A - Securities	04/05/2023	\$50,001 - \$100,000	
2000079936	SP	Accenture plc Class A Ordinary Shares (ACN) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	05/13/2021 &A - Securities	05/17/2021	\$50,001 - \$100,000	
		Accenture plc Class A Ordinary Shares (ACN) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	08/28/2019 &A - Securities	09/05/2019	\$15,001 - \$50,000	
		Accenture plc Class A Ordinary Shares (ACN) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA&	10/17/2019 &A - Securities	11/05/2019	\$15,001 - \$50,000	
	SP	Accenture plc Class A Ordinary Shares (ACN) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	09/27/2019	10/05/2019	\$15,001 - \$50,000	
2000079934	SP	Albemarle Corporation (ALB) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa		05/04/2021 &A - Securities	05/06/2021	\$15,001 - \$50,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
2000076738	SP	Albemarle Corporation (ALB) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	P	02/10/2021	02/15/2021	\$1,001 - \$15,000	
2000068093	SP	Alphabet Inc Class A (GOOGL) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA		03/20/2020	\$15,001 - \$50,000	
	SP	Alphabet Inc Class A (GOOGL) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	12/27/2019	01/05/2020	\$15,001 - \$50,000	
		Amazon.com, Inc. (AMZN) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	09/10/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
		American Water Works Company, Inc. (AWK) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		09/10/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
		Amgen Inc. (AMGN) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	08/29/2019 &A - Securities	09/05/2019	\$15,001 - \$50,000	
	SP	Amgen Inc. (AMGN) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	09/27/2019	10/05/2019	\$15,001 - \$50,000	
	SP	Amgen Inc. (AMGN) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	08/18/2022 &A - Securities	09/05/2022	\$15,001 - \$50,000	
	SP	Bayer AG Ordinary Shares (BAYZF) [ST]  FILING STATUS: New SUBHOLDING OF: LIVTR DESCRIPTION: CASH MERGER WITH AS BAYER SINCE THERE IS NO MO			,, -,	\$1,001 - \$15,000 REVIOUSLY OWNE	ED - LISTED

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	SP	BB&T Corporation (BBT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S (partial)	04/27/2018	05/05/2018	\$15,001 - \$50,000	<b>V</b>
	SP	BB&T Corporation (BBT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S (partial)	06/19/2019	07/05/2019	\$15,001 - \$50,000	✓
	SP	BB&T Corporation (BBT) [ST] FILING STATUS: New SUBHOLDING OF: INIRA	S	03/23/2017	04/05/2017	\$1,001 - \$15,000	
	SP	BB&T Corporation (BBT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S (partial)	03/23/2017	04/05/2017	\$15,001 - \$50,000	<
		BlackRock, Inc. (BLK) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	09/24/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
	SP	CAE Inc. Ordinary Shares (CAE) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	10/31/2019	11/05/2019	\$1,001 - \$15,000	
	SP	CAE Inc. Ordinary Shares (CAE) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	04/09/2019	05/05/2019	\$1,001 - \$15,000	
	SP	Carnival Corporation (CCL) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	04/11/2019	05/05/2019	\$1,001 - \$15,000	
	SP	Carnival Corporation (CCL) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	01/29/2018	02/05/2018	\$1,001 - \$15,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	SP	Chubb Limited (CB) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8		09/05/2022	\$15,001 - \$50,000	
2000069530	SP	Chubb Limited (CB) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	07/02/2020 &A - Securities	07/06/2020	\$15,001 - \$50,000	
	SP	Chubb Limited (CB) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	11/16/2020 &A - Securities	12/05/2020	\$15,001 - \$50,000	
	SP	Church & Dwight Company, Inc. (CHD) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	01/25/2021 &A - Securities	02/05/2021	\$15,001 - \$50,000	
2000077843	SP	Church & Dwight Company, Inc. (CHD) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA&	03/10/2021 &A - Securities	03/15/2021	\$15,001 - \$50,000	
		Costco Wholesale Corporation (COST) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	09/10/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
	SP	Costco Wholesale Corporation (COST) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	04/27/2017	06/05/2017	\$15,001 - \$50,000	
2000076732	SP	Deere & Company (DE) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	02/10/2021 &A - Securities	02/15/2021	\$15,001 - \$50,000	
2000076735	SP	Deere & Company (DE) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	P	02/26/2021	03/01/2021	\$1,001 - \$15,000	
2000074180	SP	Dominion Energy, Inc. (D) [ST]	S	12/15/2020	12/18/2020	\$15,001 -	<b>✓</b>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: Amended SUBHOLDING OF: LIVTR				\$50,000	
	SP	Dominion Energy, Inc. (D) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	12/15/2020	01/05/2021	\$15,001 - \$50,000	
	SP	Dover Corporation (DOV) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	06/15/2020	07/05/2020	\$15,001 - \$50,000	
	SP	Dover Corporation (DOV) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	05/15/2019	06/05/2019	\$15,001 - \$50,000	
	SP	Dover Corporation (DOV) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	04/11/2018	05/05/2018	\$15,001 - \$50,000	✓
	SP	Dover Corporation (DOV) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	05/14/2020	06/05/2020	\$15,001 - \$50,000	
		Dover Corporation (DOV) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	09/17/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
2000085694	SP	Dover Corporation (DOV) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8		06/22/2020	\$15,001 - \$50,000	
	SP	Dover Corporation (DOV) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA&		06/05/2020	\$15,001 - \$50,000	
2000086363	SP	Dover Corporation (DOV) [ST]	P	06/15/2021	06/19/2020	\$15,001 -	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: Deleted				\$50,000	
	SP	Exxon Mobil Corporation (XOM) [ST] FILING STATUS: New SUBHOLDING OF: INIRA	S	04/27/2017	05/05/2017	\$1,001 - \$15,000	
	SP	FedEx Corporation (FDX) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	05/16/2017	06/05/2017	\$1,001 - \$15,000	
	SP	FedEx Corporation (FDX) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	04/09/2019	05/05/2019	\$1,001 - \$15,000	
2000076736	SP	Freeport-McMoRan, Inc. (FCX) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	P	02/26/2021	03/01/2021	\$1,001 - \$15,000	
2000086462	SP	Freeport-McMoRan, Inc. (FCX) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	S	10/04/2021	10/06/2021	\$1,001 - \$15,000	
2000076733	SP	Freeport-McMoRan, Inc. (FCX) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	02/10/2021 &A - Securities	02/15/2021	\$15,001 - \$50,000	
	SP	Freeport-McMoRan, Inc. (FCX) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA	10/07/2021 &A - Securities	11/05/2021	\$15,001 - \$50,000	✓
	SP	GENERAL ELECTRIC 5.55% DUE 02/15/22 (36966R5P7) [CS] FILING STATUS: New SUBHOLDING OF: INIRA DESCRIPTION: SALE OF CORPORATE		11/02/2017	12/05/2017	\$1,001 - \$15,000	
	SP	General Electric Company (GE) [ST]	S	05/16/2017	06/05/2017	\$1,001 - \$15,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: LIVTR					
	SP	Home Depot, Inc. (HD) [ST]	P	05/14/2020	06/05/2020	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					
2000086357	SP	Home Depot, Inc. (HD) [ST]	P	05/14/2020	05/20/2020	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	Intuit Inc. (INTU) [ST]	P	02/28/2020	03/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
		Intuit Inc. (INTU) [ST]	P	08/29/2019	09/05/2019	\$50,001 - \$100,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		Intuit Inc. (INTU) [ST]	S	10/17/2019	11/05/2019	\$50,001 - \$100,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		Johnson & Johnson (JNJ) [ST]	P	10/02/2019	11/05/2019	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
2000079935	SP	Johnson & Johnson (JNJ) [ST]	P	05/04/2021	05/06/2021	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
	SP	Kimberly-Clark Corporation (KMB) [ST]	S	01/25/2021	02/05/2021	\$15,001 - \$50,000	<b>~</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	Kimberly-Clark Corporation (KMB) [ST]	S	01/25/2021	02/05/2021	\$1,001 - \$15,000	<b>✓</b>
		FILING STATUS: New					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		SUBHOLDING OF: LIVTR					
		Kimberly-Clark Corporation (KMB) [ST]	P	09/10/2019	10/05/2019	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
	SP	Kimberly-Clark Corporation (KMB) [ST]	P	06/07/2019	07/05/2019	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					
		Marriott International - Class A (MAR) [ST]	P	08/22/2019	09/05/2019	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
		Marriott International - Class A (MAR) [ST]	S	10/17/2019	11/05/2019	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
	SP	Marriott International - Class A (MAR) [ST]	P	05/14/2020	06/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New Subholding Of: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
2000069531	SP	Merck & Company, Inc. Common Stock (MRK) [ST]	P	07/02/2020	07/06/2020	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
2000077844	SP	Merck & Company, Inc. Common Stock (MRK) [ST]	S	03/10/2021	03/15/2021	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
	SP	Merck & Company, Inc. Common Stock (MRK) [ST]	S	11/30/2017	01/05/2018	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					
		Microsoft Corporation (MSFT) [ST]	P	08/27/2019	09/05/2019	\$15,001 - \$50,000	
		FILING STATUS: New					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	MONSANTO [OT]	P	02/03/2017	03/05/2017	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR LOCATION: US DESCRIPTION: STOCK TICKER NOT A	VAILABLE ANY	LONGER IN T	HE SYSTEM.		
	SP	NextEra Energy, Inc. (NEE) [ST]	P	04/17/2020	05/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA8	&A - Securities			
2000077845	SP	W/ \ / L	P	03/10/2021	03/15/2021	\$1,001 - \$15,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
2000070841	SP	NextEra Energy, Inc. (NEE) [ST]	P	09/25/2020	10/02/2020	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	Paychex, Inc. (PAYX) [ST]	S	04/15/2020	05/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
		Paychex, Inc. (PAYX) [ST]	P	08/27/2019	09/05/2019	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	Paychex, Inc. (PAYX) [ST]	P	05/23/2018	06/05/2018	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					
2000076739	SP	PayPal Holdings, Inc. (PYPL) [ST]	P	02/10/2021	02/15/2021	\$1,001 - \$15,000	
		FILING STATUS: Amended SUBHOLDING OF: LIVTR					
	SP	PayPal Holdings, Inc. (PYPL) [ST]	S	10/22/2021	11/05/2021	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
2000086463	SP	PayPal Holdings, Inc. (PYPL) [ST]	S	10/22/2021	10/26/2021	\$15,001 - \$50,000	
		FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	PayPal Holdings, Inc. (PYPL) [ST]	P	01/25/2021	02/05/2021	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	PayPal Holdings, Inc. (PYPL) [ST]	P	07/15/2021	08/05/2021	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Pfizer, Inc. (PFE) [ST]	P	07/15/2021	08/05/2021	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Pfizer, Inc. (PFE) [ST]	S	03/14/2023	04/05/2023	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Phillips 66 (PSX) [ST]	P	02/21/2020	03/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Phillips 66 (PSX) [ST]	S	04/15/2020	05/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Procter & Gamble Company (PG) [ST]	P	04/17/2020	05/05/2020	\$15,001 - \$50,000	
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associ	ates, Inc. > RWA	&A - Securities			
	SP	Procter & Gamble Company (PG) [ST]	S	01/29/2018	02/05/2018	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: LIVTR					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
2000089848	SP	Putnam Ultra Short Duration Income A (PSDTX) [AB] FILING STATUS: Deleted SUBHOLDING OF: CONT IRA	S	01/25/2022	01/28/2022	\$50,001 - \$100,000	
	SP	Realty Income Corporation (O) [ST] FILING STATUS: New SUBHOLDING OF: INIRA	S	02/13/2017	03/05/2017	\$15,001 - \$50,000	
2000068091	SP	Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S  ates, Inc. > RWA		03/20/2020	\$15,001 - \$50,000	
		Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	08/29/2019 &A - Securities	09/05/2019	\$50,001 - \$100,000	
		Sherwin-Williams Company (SHW) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	09/10/2019 &A - Securities	10/05/2019	\$50,001 - \$100,000	
2000068092	SP	South State Corporation (SSB) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S (partial) ates, Inc. > RWA	, ,	03/20/2020	\$50,001 - \$100,000	<
2000076734	SP	South State Corporation (SSB) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S (partial) ates, Inc. > RWA	02/10/2021 &A - Securities	02/15/2021	\$15,001 - \$50,000	<
2000076731	SP	South State Corporation (SSB) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S (partial) ates, Inc. > RWA	02/18/2021 &A - Securities	02/22/2021	\$15,001 - \$50,000	<
2000079933	SP	South State Corporation (SSB) [ST] FILING STATUS: Amended	S (partial)	05/13/2021	05/17/2021	\$15,001 - \$50,000	<b>✓</b>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	zA - Securities			
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		01/13/2021 vA - Securities	02/05/2021	\$50,001 - \$100,000	<
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	-	06/09/2021 zA - Securities	07/05/2021	\$15,001 - \$50,000	<
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	-	09/28/2021 zA - Securities	10/05/2021	\$100,001 - \$250,000	$\checkmark$
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	-	01/13/2023 zA - Securities	02/05/2022	\$50,001 - \$100,000	<
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		03/09/2023 zA - Securities	04/05/2023	\$50,001 - \$100,000	<
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	-	01/18/2022 xA - Securities	02/05/2022	\$50,001 - \$100,000	<
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		02/09/2022 zA - Securities	03/05/2022	\$50,001 - \$100,000	✓
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	-	02/16/2022 xA - Securities	03/05/2022	\$50,001 - \$100,000	$\checkmark$
	SP	SouthState Corporation (SSB) [ST] FILING STATUS: New	S (partial)	04/04/2022	05/05/2022	\$50,001 - \$100,000	✓

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	SouthState Corporation (SSB) [ST]	S (partial)	05/05/2022	06/05/2022	\$50,001 - \$100,000	<b>/</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	SouthState Corporation (SSB) [ST]	S (partial)	01/13/2022	02/05/2022	\$50,001 - \$100,000	<b>✓</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	SouthState Corporation (SSB) [ST]	S (partial)	03/16/2020	04/05/2020	\$15,001 - \$50,000	<b>✓</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	SouthState Corporation (SSB) [ST]	S (partial)	04/15/2020	05/05/2020	\$100,001 - \$250,000	<b>✓</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
	SP	SouthState Corporation (SSB) [ST]	S (partial)	11/16/2020	12/05/2020	\$15,001 - \$50,000	<b>~</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		SouthState Corporation (SSB) [ST]	S (partial)	02/07/2019	03/05/2019	\$15,001 - \$50,000	<b>✓</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		SouthState Corporation (SSB) [ST]	S (partial)	05/22/2019	06/05/2019	\$15,001 - \$50,000	<b>✓</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA8	&A - Securities			
		SouthState Corporation (SSB) [ST]	S (partial)	09/10/2019	10/05/2019	\$15,001 - \$50,000	<b>/</b>
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		SouthState Corporation (SSB) [ST]	S (partial)	09/12/2019	10/05/2019	\$15,001 - \$50,000	<b>/</b>
		FILING STATUS: New					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?		
		Subholding Of: R.W. Allen & Associates, Inc. > RWA&A - Securities							
	SP	Starbucks Corporation (SBUX) [ST]	P	02/28/2020	03/05/2020	\$15,001 - \$50,000			
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities					
	SP	Starbucks Corporation (SBUX) [ST]	P	11/16/2020	12/05/2020	\$1,001 - \$15,000			
		FILING STATUS: New Subholding Of: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities					
2000069532	SP	Starbucks Corporation (SBUX) [ST]	S	07/02/2020	07/06/2020	\$1,001 - \$15,000			
		FILING STATUS: Amended SUBHOLDING OF: LIVTR							
	SP	Starbucks Corporation (SBUX) [ST]	P	12/27/2019	01/05/2020	\$1,001 - \$15,000			
		FILING STATUS: New SUBHOLDING OF: LIVTR							
2000076737	SP	Starbucks Corporation (SBUX) [ST]	P	02/26/2021	03/01/2021	\$1,001 - \$15,000			
		FILING STATUS: Amended SUBHOLDING OF: LIVTR							
2000089846	SP	Starbucks Corporation (SBUX)	S	01/25/2022	01/28/2022	\$1,001 - \$15,000			
		FILING STATUS: Amended SUBHOLDING OF: LIVTR							
	SP	TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]	S	11/20/2018	12/05/2018	\$1,001 - \$15,000			
		FILING STATUS: New SUBHOLDING OF: LIVTR							
	SP	TE Connectivity Ltd. New Switzerland Registered Shares	P	11/30/2017	01/05/2018	\$1,001 - \$15,000			
		(TEL) [ST] FILING STATUS: New SUPPOSITE LIVER							
	an.	SUBHOLDING OF: LIVTR			, , <u>-</u>				
	SP	The Cigna Group (CI) [ST]	S	02/07/2018	03/05/2018	\$15,001 - \$50,000	✓		

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: LIVTR					
	SP	Thermo Fisher Scientific Inc (TMO) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&		04/05/2022	\$15,001 - \$50,000	
2000077846	SP	Thermo Fisher Scientific Inc (TMO) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	03/10/2021 &A - Securities	03/15/2021	\$15,001 - \$50,000	
	SP	Thermo Fisher Scientific Inc (TMO) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	01/25/2021 &A - Securities	02/05/2021	\$15,001 - \$50,000	
2000078994	SP	Thermo Fisher Scientific Inc (TMO) [ST] FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S (partial) ates, Inc. > RWA	04/12/2021 &A - Securities	04/16/2021	\$15,001 - \$50,000	
2000086358	SP	Truist Financial Corporation (TFC) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	S	04/15/2020	04/22/2020	\$15,001 - \$50,000	
	SP	United Technologies Corporation (UTX) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	01/25/2019	02/05/2019	\$1,001 - \$15,000	<
	SP	US T BILL DUE 02/14/19 (912796QX0) [GS] FILING STATUS: New SUBHOLDING OF: LIVTR	P	08/21/2018	09/05/2018	\$15,001 - \$50,000	
		US T BILL DUE 03/26/20 (912796SH3) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA	08/30/2019 &A - Securities	09/05/2019	\$50,001 - \$100,000	
	SP	US T BILL DUE 08/15/19 (912796QV4) [GS]	P	02/15/2019	03/05/2019	\$15,001 - \$50,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: LIVTR					
	SP	US TREASURY BILL DUE 10/5/23 (912796YJ2) [GS] FILING STATUS: New SUBHOLDING OF: LIVTR	P	10/07/2022	11/05/2022	\$15,001 - \$50,000	
	SP	US TREASURY BILL DUE 10/5/23 (912796YJ2) [GS] FILING STATUS: New SUBHOLDING OF: INIRA	P	12/08/2022	01/05/2023	\$15,001 - \$50,000	
	SP	US TREASURY BILL DUE 12/22/22 (912796X87) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	10/07/2022 &A - Securities	11/05/2022	\$100,001 - \$250,000	
	SP	US TREASURY BILL DUE 3/23/23 (912796U31) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	09/19/2022 &A - Securities	10/05/2022	\$100,001 - \$250,000	
	SP	US TREASURY BILL DUE 3/23/23 (912796U31) [GS] FILING STATUS: New SUBHOLDING OF: INIRA	P	10/07/2022	11/05/2022	\$15,001 - \$50,000	
	SP	US TREASURY BILL DUE 7/13/23 (912796XQ7) [GS] FILING STATUS: New SUBHOLDING OF: LIVTR	P	08/19/2022	09/05/2022	\$15,001 - \$50,000	
	SP	US TREASURY BILL DUE 7/13/23 (912796XQ7) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa			09/05/2022	\$100,001 - \$250,000	
	SP	US TREASURY BILL DUE 9/15/22 (912796U49) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa			04/05/2022	\$100,001 - \$250,000	
	SP	US TREASURY BILL DUE 9/15/22 (912796U49) [GS]	P	05/23/2022	06/05/2022	\$100,001 - \$250,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA&	&A - Securities			
		US TREASURY BILL DUE 9/15/22 (912796U49) [GS] FILING STATUS: New SUBHOLDING OF: IRA	P	03/25/2022	04/05/2022	\$15,001 - \$50,000	
		US Treasury Bill Due 9/7/23 (912796YH6) [GS] FILING STATUS: New SUBHOLDING OF: IRA	P	09/16/2022	10/05/2022	\$15,001 - \$50,000	
	SP	US TREASURY BILL20U S T BILL DUE 07/23/20 (912796WX3) [GS] FILING STATUS: New SUBHOLDING OF: INIRA	P	02/03/2020	03/05/2020	\$15,001 - \$50,000	
	SP	US TREASURY BILL24U S T BILL DUE 07/11/24 [GS] FILING STATUS: New SUBHOLDING OF: LIVTR	P	07/17/2023	08/08/2023	\$15,001 - \$50,000	
	SP	US TREASURY NOTE 2.25% 03/24 (91282CEG2) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P  ates, Inc. > RWA8		06/05/2022	\$100,001 - \$250,000	
		US Treasury Note 2.25% Due 3/31/24 (91282CEG2) [GS] FILING STATUS: New SUBHOLDING OF: IRA	P	05/10/2022	06/05/2022	\$15,001 - \$50,000	
	SP	US TREASURY NOTE 3.25% 08/24 (91282CFG1) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	09/16/2022 &A - Securities	10/05/2022	\$100,001 - \$250,000	
	SP	US TREASURY NOTE 4.25% 09/24 (91282CFN6) [GS] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	12/23/2022 &A - Securities	01/05/2023	\$100,001 - \$250,000	
	SP	Verizon Communications Inc. (VZ) [ST]	S	01/26/2021	02/05/2021	\$50,001 - \$100,000	<b>~</b>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	ates, Inc. > RWA	&A - Securities			
2000076740	SP	Verizon Communications Inc. (VZ) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	S	02/10/2021	02/15/2021	\$1,001 - \$15,000	
		Verizon Communications Inc. (VZ) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		08/29/2019 &A - Securities	09/05/2019	\$50,001 - \$100,000	
		Walmart Inc. (WMT) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA8	08/22/2019 &A - Securities	09/05/2019	\$15,001 - \$50,000	
	SP	Walmart Inc. (WMT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	06/28/2018	07/05/2018	\$1,001 - \$15,000	
	SP	Walmart Inc. (WMT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	S	05/23/2018	06/05/2018	\$1,001 - \$15,000	
	SP	Walmart Inc. (WMT) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	01/25/2018	02/05/2018	\$1,001 - \$15,000	
		Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P ates, Inc. > RWA&	09/27/2019 &A - Securities	10/05/2019	\$15,001 - \$50,000	
	SP	Walt Disney Company (DIS) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S ates, Inc. > RWA&	., -,	05/05/2020	\$15,001 - \$50,000	
2000089847	SP	Walt Disney Company (DIS) [ST] FILING STATUS: Amended SUBHOLDING OF: LIVTR	S	01/25/2022	01/28/2022	\$1,001 - \$15,000	✓

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
2000077847	SP	Walt Disney Company (DIS) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	P	03/10/2021	03/15/2021	\$15,001 - \$50,000	
	SP	Walt Disney Company (DIS) [ST]  FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P	01/25/2021	02/05/2021	\$15,001 - \$50,000	
2000097313	SP	Walt Disney Company (DIS) [ST]  FILING STATUS: Amended SUBHOLDING OF: R.W. Allen & Associa	S	08/11/2022	08/18/2022	\$15,001 - \$50,000	
	SP	Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	S (partial) ates, Inc. > RWA8	, ,	03/05/2022	\$15,001 - \$50,000	
	SP	Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa		03/14/2022 &A - Securities	04/05/2022	\$15,001 - \$50,000	
	SP	Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: LIVTR	P	11/30/2017	01/05/2018	\$1,001 - \$15,000	
	SP	Waste Management, Inc. (WM) [ST] FILING STATUS: New SUBHOLDING OF: R.W. Allen & Associa	P  ates, Inc. > RWA8	01/13/2022 &A - Securities	02/05/2022	\$15,001 - \$50,000	

<sup>\*</sup> For the complete list of asset type abbreviations, please visit  $\underline{\text{https://fd.house.gov/reference/asset-type-codes.aspx}}.$ 

## **ASSET CLASS DETAILS**

• CONT IRA (Owner: SP)

o INIRA (Owner: SP)

o IRA

• LIVTR (Owner: SP) LOCATION: US  $\circ~$  R.W. Allen & Associates, Inc.

LOCATION: US

• R.W. Allen & Associates, Inc.  $\Rightarrow$  RWA&A - Securities (100% Interest)

LOCATION: Augusta/ Richmond, GA, US

# **INITIAL PUBLIC OFFERINGS**

O Yes No

#### CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Periodic Transaction Report are true, complete, and correct to the best of my knowledge and belief. Further, I CERTIFY that I have disclosed all transactions as required by the STOCK Act.

Digitally Signed: Hon. Richard W. Allen, 08/10/2023