

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Rick Neal

Status: Congressional Candidate

State/District: OH15

FILING INFORMATION

Filing Type: Candidate Report

Filing Year: 2018

Filing Date: 08/13/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Annie Upper Irrevocable Dynasty Trust ⇒ Cash holding in trust [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Emerging Mkts Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Emerging Mkts Small Cap Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Interm Term Muni Bd Port Inst [MF]	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Intl Small Co Port Instl [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Large Capt Intl Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Tax Managed Intl Value Portfolio [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Tax Managed US Marketwide Value Portfolio [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Tax Managed US Targeted Value Portfolio [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Tax-Mng US Equity Portfolio [MF]	SP	\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ DFA Tax-Mng US Smlcap Portfolio [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ Fidelity Tax Free Bond Fund [MF]	SP	\$100,001 - \$250,000	Dividends, Interest	\$15,001 - \$50,000	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ MFS International Value Class A [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	None	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ Schwab Fundamental International Large Co Index [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ Schwab Fundamental US Large Co Index [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Annie Upper Irrevocable Dynasty Trust ⇒ Schwab Money Fund [BA]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1 - \$200
Annie Upper Irrevocable Dynasty Trust ⇒ Vanguard High Dividend Yield ETF [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
Annie Upper Irrevocable Dynasty Trust ⇒ Vanguard High Yield Tax Exempt Fund Admiral Shares [MF]	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Annie Upper Irrevocable Dynasty Trust ⇒ Vanguard Long Term Tax Exempt Fund Admiral Cl Shares [MF]	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Bitcoin (1.12108259) [OT] DESCRIPTION: Bitcoin sold in 2017 for \$11,100. Purchased in	2013 for \$	None 118.	Capital Gains	None	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Avon, IN, US	SP	\$50,001 - \$100,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Cincinnati, OH, US	SP	\$15,001 - \$50,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: North Canton, OH, US	SP	\$50,001 - \$100,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Gahanna, OH, US	SP	\$100,001 - \$250,000	Rent	\$5,001 - \$15,000	\$5,001 - \$15,000
Donatos Pizza Realty ⇒ Commercial rental property at 825 W. 10th St. [RP] LOCATION: Indianapolis, IN, US	SP	\$15,001 - \$50,000	Rent	\$5,001 - \$15,000	\$5,001 - \$15,000
Donatos Pizza Realty ⇒ Commercial rental property, 3530 Mann Rd [RP] LOCATION: Indianapolis, IN, US	SP	\$15,001 - \$50,000	Rent	None	\$1,001 - \$2,500
Donatos Pizza Realty ⇒ Commercial rental property, 4100 West 106th St. [RP] LOCATION: Indianapolis, IN, US	SP	\$100,001 - \$250,000	Rent	\$5,001 - \$15,000	\$5,001 - \$15,000
E6, INC and Subsidiaries [PS] Description: Operates gymnasium franchises in Columbus	SP , OH.	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000	\$15,001 - \$50,000
Epoch Health LLC ⇒ Endevor LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Technology start-up.	SP	\$15,001 - \$50,000	None		
Frambes Investment Company ⇒ Commercial rental property at 2084 North High St. [RP] LOCATION: Columbus, OH, US	SP	\$50,001 - \$100,000	Rent	\$2,501 - \$5,000	\$2,501 - \$5,000
Frambes Investment Company ⇒ Commercial rental property at 3389 Sullivant	SP	\$15,001 - \$50,000	Rent	\$1,001 - \$2,500	\$2,501 - \$5,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Avenue [RP]					
LOCATION: Columbus, OH, US					
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ 4100 W. 106th St. [RP] LOCATION: Indianapolis, IN, US	SP	\$1,001 - \$15,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Cincinnati, OH, US	SP	\$1,001 - \$15,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Gahanna, OH, US	SP	\$1,001 - \$15,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: Avon, IN, US	SP	\$1,001 - \$15,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property [RP] LOCATION: North Canton, OH, US	SP	\$1,001 - \$15,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property at 3530 Mann Rd. [RP] LOCATION: Indianapolis, IN, US	SP	\$1,001 - \$15,000	Rent	None	\$201 - \$1,000
Golden Earth Investments LLC ⇒ Donatos Pizza Realty ⇒ Commercial rental property at 825 W. 10th St. [RP] LOCATION: Indianapolis, IN, US	SP	\$15,001 - \$50,000	Rent	\$201 - \$1,000	\$201 - \$1,000
Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Parkline Holding Company ⇒ Industrial property [RP] LOCATION: Orlando, FL, US	SP	\$1,001 - \$15,000	None		
Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Pasco LLC ⇒ Undeveloped land [RP]	SP	\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Location: Orlando, FL, US					
Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Spanish Lakes LLC ⇒ Undeveloped land [RP] LOCATION: Pasco County, FL, US	SP	\$1,001 - \$15,000	None		
Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Valencia LLC ⇒ Undeveloped land [RP] Location: Osceola, FL, US	SP	\$1,001 - \$15,000	None		
Golden Light Equities II LLC ⇒ Ohio Techangel Fund II LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Angel investor fund	SP	\$1,001 - \$15,000	Interest	\$5,001 - \$15,000	\$1,001 - \$2,500
Golden Light Equities II LLC ⇒ Ohio Techangel Fund LLC [OL] LOCATION: Columbus, OH, US DESCRIPTION: Angel investor fund	SP	\$1,001 - \$15,000	Interest	\$201 - \$1,000	\$2,501 - \$5,000
Golden Light Equities III LLC ⇒ Flint Ridge Energy LTD [OL] LOCATION: Columbus, OH, US DESCRIPTION: Energy exploration.	SP	\$15,001 - \$50,000	None		
Golden Light Equities LLC ⇒ 8 Investments LLC ⇒ Donatos Pizza [PS] DESCRIPTION: Food service company.	SP	\$500,001 - \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Green Biologics [PS] DESCRIPTION: Developing and manufacturing renewably-sou	SP urced chem	\$1,001 - \$15,000 nical products.	None		
Grote Family Enterprise LLC ⇒ Beehex [OL] LOCATION: Columbus, OH, US DESCRIPTION: Food production equipment developer.	SP	\$15,001 - \$50,000	None		
Grote Family Limited Partnership I ⇒ Commercial rental property [RP] LOCATION: Columbus, OH, US	SP	\$500,001 - \$1,000,000	Rent	\$15,001 - \$50,000	\$50,001 - \$100,000
Grote Family Limited Partnership I \Rightarrow The Gravity Project LLC [OL]	SP	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Location: Columbus, OH, US Description: Real estate development.					
Grote Family Limited Partnership I ⇒ Two25 Commons LLC [OL] Location: Columbus, OH, US DESCRIPTION: Real estate development	SP	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$2,501 - \$5,000
Grote Family Limited Partnership II ⇒ Commercial Rental Property [RP] LOCATION: Huber Heights, OH, US	SP	\$50,001 - \$100,000	Rent	None	\$2,501 - \$5,000
Grote Family Limited Partnership II ⇒ Commercial Rental Property [RP] LOCATION: Lancaster, OH, US	SP	\$50,001 - \$100,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Grote Family Limited Partnership II ⇒ Commercial Rental Property [RP] LOCATION: Columbus, OH, US	SP	\$50,001 - \$100,000	Rent	\$5,001 - \$15,000	\$5,001 - \$15,000
Grote Family Limited Partnership II ⇒ Commercial Rental Property [RP] LOCATION: Zanesville, OH, US	SP	\$100,001 - \$250,000	Rent	\$5,001 - \$15,000	\$15,001 - \$50,000
Grote Turner, 50% Interest [OL] LOCATION: Columbus, OH, US DESCRIPTION: Brand consulting firm.	SP	\$1 - \$1,000	None		
Middlefield Banc Corp. (MBCN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Nine Investments ⇒ Convergince ⇒ Green Biologics [PS]	SP	\$500,001 - \$1,000,000	None		
Description: Developing and manufacturing renewably-so	urced chem	ical products.			
Renewable Lubricants [PS]	SP	\$250,001 - \$500,000	None		
Description: Manufacturer of lubricant products based in	Hartville, O	H.			
Rick Neal and Tom Grote - Joint Checking Account [BA]	JT	\$15,001 - \$50,000	None		
Rick Neal Individual Schwab Account ⇒ Pax Balanced Fd Indvl Inv Cl [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Rick Neal Roth IRA ⇒ Pax Balanced Fd Indvl Inv Cl [MF]		\$100,001 - \$250,000	Tax-Deferred		
Rick Neal Schwab IRA \Rightarrow Pax Balanced Fd Indvl Inv Cl [MF]		\$1,001 - \$15,000	Tax-Deferred		
Tom Grote's IRA ⇒ Cash [IH]	SP	\$1,001 - \$15,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA Emerging Mkts Core [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA Inter Govt Fixed [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA Inter Term Extend [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA International Value [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA Investment Grade [MF]	SP	\$50,001 - \$100,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA U.S. Core Equity 1 Portfolio Institutional Class [MF]	SP	\$100,001 - \$250,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA U.S. Small Cap [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow DFA U.S. Targeted Value [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA ⇒ Schwab Total Stock Mkt Index [MF]	SP	\$100,001 - \$250,000	Tax-Deferred		
Tom Grote's IRA ⇒ Vanguard Developed Markets [MF]	SP	\$15,001 - \$50,000	Tax-Deferred		
Tom Grote's IRA \Rightarrow Vanguard Inter Term Corp [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Tom Grote's IRA ⇒ Vanguard Total Bond Fund [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Tom Grote's Revocable Trust ⇒ DFA Emerging Mkts Core Eqty Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ DFA Interm Term Muni Bd Port Inst [MF]	SP	\$100,001 - \$250,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ DFA Intl Core Eqty Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	None
Tom Grote's Revocable Trust ⇒ DFA Intl Core Equity Port Instl [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ DFA Investment Grade Port Instl [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ DFA Tax Managed Intl Value Portfolio [MF]	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ DFA Tax Managed US Targeted Value Portfolio [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Tom Grote's Revocable Trust ⇒ DFA Tax-Mng US Equity Portfolio [MF]	SP	\$100,001 - \$250,000	Capital Gains, Dividends, Interest	\$15,001 - \$50,000	None
Tom Grote's Revocable Trust ⇒ DFA Tax-Mng US Smlcap Portfolio [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ Schwab Total Stock Mkt Index [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ Schwab Value Advantage [BA]	SP	\$50,001 - \$100,000	Dividends, Interest	\$1,001 - \$2,500	None
Tom Grote's Revocable Trust ⇒ Vanguard Developed Mkts Index Adm [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Tom Grote's Revocable Trust ⇒ Vanguard Interm Term Bd Index Admiral Shares [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Tom Grote's Revocable Trust ⇒ Vanguard Total Bond Fund [MF]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000

^{*} 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 C: EARNED INCOME

Source	Туре	Amount Current Year to Filing	Amount Preceding Year
Donatos	Spouse	N/A	N/A
Green Biologics	Spouse	N/A	N/A
The Grote Company	Spouse	N/A	N/A
Consulting	Spouse	N/A	N/A
Grote Turner	Spouse	N/A	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- Annie Upper Irrevocable Dynasty Trust (20% Interest) (Owner: SP)
 Description: Family Dynasty Trust
 Comments: All values and income are for the trust as a whole.
- Donatos Pizza Realty (12% Interest) (Owner: SP)
 LOCATION: Columbus, OH, US
- Epoch Health LLC (Owner: SP) LOCATION: US
- Frambes Investment Company (8% Interest) (Owner: SP)

LOCATION: Lewis Center, OH, US o Golden Earth Investments LLC (15% Interest) (Owner: SP) Location: Lewis Center, OH, US o Golden Earth Investments LLC ⇒ Donatos Pizza Realty (Owner: SP) LOCATION: US • Golden Earth Investments LLC ⇒ MAS Investment Group (Owner: SP) LOCATION: US o Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Parkline Holding Company (Owner: SP) LOCATION: US o Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Pasco LLC (Owner: SP) Location: Orlando, FL, US o Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Spanish Lakes LLC (Owner: SP) LOCATION: US o Golden Earth Investments LLC ⇒ MAS Investment Group ⇒ Valencia LLC (Owner: SP) LOCATION: US • Golden Light Equities II LLC (Owner: SP) LOCATION: US • Golden Light Equities III LLC (Owner: SP) LOCATION: US • Golden Light Equities LLC (Owner: SP) LOCATION: Lewis Center, OH, US • Golden Light Equities LLC ⇒ 8 Investments LLC (Owner: SP) LOCATION: Columbus, OH, US • Grote Family Enterprise LLC (10% Interest) (Owner: SP) LOCATION: US • Grote Family Limited Partnership I (12% Interest) (Owner: SP) Location: Lewis Center, OH, US o Grote Family Limited Partnership II (23% Interest) (Owner: SP) Location: Lewis Center, OH, US • Nine Investments (Owner: SP) LOCATION: Columbus, OH, US • Nine Investments ⇒ Convergince (Owner: SP) LOCATION: US • Rick Neal Individual Schwab Account (100% Interest) Description: Brokerage Account Rick Neal Roth IRA Rick Neal Schwab IRA

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

o Tom Grote's IRA (Owner: SP)

o Tom Grote's Revocable Trust (Owner: SP)

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?

C 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?

C 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: Rick Neal, 08/13/2018