



Filing ID #10056618

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Alan D. Swain  
**Status:** Congressional Candidate  
**State/District:** NC02

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2024  
**Filing Date:** 01/17/2024

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Amazon.com, Inc. (AMZN) [ST]		\$100,001 - \$250,000	Tax-Deferred		
DESCRIPTION: Amazon shares in A Swain 401k					
Amazon.com, Inc. (AMZN) [ST]		\$15,001 - \$50,000	Capital Gains	None	None
DESCRIPTION: Amazon shares in Swain brokerage account					
Apple Inc. (AAPL) [ST]		\$100,001 - \$250,000	Tax-Deferred		
DESCRIPTION: Apple shares in A Swain's 401k					
Apple Inc. (AAPL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Apple shares in Swain brokerage account					
DXQLX [MF]		\$15,001 - \$50,000	None		
DESCRIPTION: DXQLX in Swain brokerage account					
DXQLX [MF]		\$15,001 - \$50,000	None		
DESCRIPTION: DXQLX shares in A Swain 401k					
RYVYX [MF]		\$15,001 - \$50,000	None		
DESCRIPTION: RYVYX shares in A Swain 401k					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
RYVYX [MF] DESCRIPTION: RYVYX shares in A Swain 401k		\$15,001 - \$50,000	None		
Tesla, Inc. (TSLA) [ST] DESCRIPTION: Tesla shares in Swain brokerage account		\$15,001 - \$50,000	Capital Gains	None	None
Tesla, Inc. (TSLA) [ST] DESCRIPTION: Tesla shares in A Swain 401k		\$100,001 - \$250,000	Tax-Deferred		
UOPIX [MF] DESCRIPTION: UOPIX shares in Swain brokerage account		\$15,001 - \$50,000	None		
UOPIX [MF] DESCRIPTION: UOPIX shares in A Swain 401k		\$15,001 - \$50,000	None		

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

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
US Army retired pension - Alan	US Army service	\$93,704.00	\$86,609.00
Social Security-Alan	Federal service and small business input	\$39,318.00	\$36,170.00
US Army service - Doris	US Army service	\$52,351.00	\$48,384.00
Social Security-Doris	Federal service and Virginia Teaching career input	\$32,214.00	\$29,630.00
Virginia Teacher Pension	Virginia Teaching service	\$20,157.00	\$19,915.00
Fairfax County Public School Teacher Pension	FCPS service	\$3,461.00	\$3,360.00
VA disability	US Army service disability	\$7,032.00	\$6,816.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	PennyMac Loan Service-Mortgage	September 2021	Home of residence - 3004 Adonis Cir, Raleigh, NC 27612	\$1,100,000.00
JT	Vidanta Grande Luxxe Residence Club	November 2023	Upgrade to Grande Luxxe Residence Club	\$50,001 - \$100,000
JT	Service Finance Company LLC	September 2017	Solar panel (24) installments	\$24,250.00
JT	Lexus Financial Services	November 2020	Lease payment for ES 300h	\$15,001 - \$50,000
JT	Lexus Financial Services	January 2024	Lease payment for RX 350h	\$15,001 - \$50,000
JT	Alan and Doris Swain	August 2021	Beach residence 140 Atkinson Rd, Surf City, NC 28445	\$10,000 - \$15,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Chairman	Wake County Republican Party
Chairman	NCGOP 2nd Congressional District

SCHEDULE F: AGREEMENTS

None disclosed.

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

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**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:** Alan D. Swain , 01/17/2024