

FORM ADV**Uniform Application for Investment Adviser Registration****Part II - Page 1****OMB APPROVAL**

OMB Number: 3235-0049
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Hours per response.....4.07

Name of Investment Adviser: Allen, Mooney & Barnes Investment Advisors, LLC						
Address:	(Number and Street)	(City)	(State)	(Zip Code)	Area Code:	Telephone Number:
	135 South Madison Street	Thomasville	GA	31792	(229)	225-1500

**This part of FORM ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any government authority.**

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(Schedule A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential persons who are to respond to the collection of information contained in this form
are not required to respond unless the form displays a currently valid OMB control number.

Applicant: **Allen, Mooney & Barnes Investment Advisors, LLC**

SEC File Number:
801- 60350

Date:
01/20/2010

1. A. Advisory Services and Fees. (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

Applicant:

- | | | | |
|-------------------------------------|--|----|---|
| <input checked="" type="checkbox"/> | (1) Provides investment supervisory services | 99 | % |
| <input type="checkbox"/> | (2) Manages investment advisory accounts not involving investment supervisory services..... | | % |
| <input checked="" type="checkbox"/> | (3) Furnishes investment advice through consultations not included in either service described above... | 1 | % |
| <input type="checkbox"/> | (4) Issues periodicals about securities by subscription | | % |
| <input type="checkbox"/> | (5) Issues special reports about securities not included in any service described above..... | | % |
| <input type="checkbox"/> | (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities..... | | % |
| <input type="checkbox"/> | (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities... | | % |
| <input type="checkbox"/> | (8) Provides a timing service | | % |
| <input type="checkbox"/> | (9) Furnishes advice about securities in any manner not described above..... | | % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term? Yes ☒ No ☐

C. Applicant offers investment advisory services for: (check all that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input checked="" type="checkbox"/> (2) Hourly charges | <input type="checkbox"/> (5) Commissions |
| <input type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (6) Other |

D. For each checked box in A above, describe on Schedule F:

- ☐ the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- ☐ applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- ☐ when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. Types of clients - Applicant generally provides investment advice to: (check those that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> A. Individuals | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations |
| <input checked="" type="checkbox"/> B. Banks or thrift institutions | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input type="checkbox"/> C. Investment companies | <input type="checkbox"/> G. Other (describe on Schedule F) |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

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Applicant: **Allen, Mooney & Barnes**
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3. Types of Investments. Applicant offers advice on the following: (check those that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> A. Equity securities | <input checked="" type="checkbox"/> H. United States government securities |
| <input checked="" type="checkbox"/> (1) exchange-listed securities | <input checked="" type="checkbox"/> I. Options contracts on: |
| <input checked="" type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> (1) securities |
| <input checked="" type="checkbox"/> (3) Foreign issuers | <input type="checkbox"/> (2) commodities |
| <input checked="" type="checkbox"/> B. Warrants | <input type="checkbox"/> J. Futures contracts on: |
| <input checked="" type="checkbox"/> C. Corporate debt securities (other than commercial paper) | <input type="checkbox"/> (1) tangibles |
| <input checked="" type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (2) intangibles |
| <input checked="" type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input checked="" type="checkbox"/> F. Municipal securities | <input checked="" type="checkbox"/> (1) real estate |
| <input checked="" type="checkbox"/> G. Investment company securities: | <input checked="" type="checkbox"/> (2) oil and gas interests |
| <input checked="" type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (2) variable annuities | <input type="checkbox"/> L. Other (explain on Schedule F) |
| <input checked="" type="checkbox"/> (3) mutual fund shares | |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Charting | (4) <input type="checkbox"/> Cyclical |
| (2) <input checked="" type="checkbox"/> Fundamental | (5) <input type="checkbox"/> Other (explain on Schedule F) |
| (3) <input checked="" type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|--|
| (1) <input checked="" type="checkbox"/> Financial newspapers and magazines | (5) <input checked="" type="checkbox"/> Timing services |
| (2) <input type="checkbox"/> Inspections of corporate activities | (6) <input checked="" type="checkbox"/> Annual reports, prospectuses, filings with the |
| (3) <input checked="" type="checkbox"/> Research materials prepared by others | Securities and Exchange Commission |
| (4) <input type="checkbox"/> Corporate rating services | (7) <input checked="" type="checkbox"/> Company press releases |
| | (8) <input type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|--|---|
| (1) <input checked="" type="checkbox"/> Long term purchases
(securities held at least a year) | (5) <input checked="" type="checkbox"/> Margin transactions |
| (2) <input checked="" type="checkbox"/> Short term purchases
(securities sold within a year) | (6) <input checked="" type="checkbox"/> Option writing, including covered options,
uncovered options or spreading strategies |
| (3) <input checked="" type="checkbox"/> Trading (securities sold within 30 days) | (7) <input type="checkbox"/> Other (explain on Schedule F) |
| (4) <input checked="" type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

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Applicant: Allen, Mooney & Barnes
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5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? Yes No
☒ ☐

(If yes, please describe these standards on Schedule F)

6. Education and Business Background.

For:

- ☐ each member of the investment committee or group that determines general investment advice to be given to clients, or
☐ if the applicant has no investment committee or group, each individual who determines general investment advice clients (if more than five, respond only for their supervisors)
☐ each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- ☐ name ☐ formal education after high school
☐ year of birth ☐ business background for the preceding five years

7. Other Business Activities. (check those that apply)

- ☐ A. Applicant is actively engaged in a business other than giving investment advice.
☐ B. Applicant sells products or services other than investment advice to clients.
☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
☐ C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
☒ (1) broker-dealer ☒ (7) accounting firm
☐ (2) investment company ☐ (8) law firm
☒ (3) other investment adviser ☐ (9) insurance company or agency
☐ (4) financial planning firm ☐ (10) pension consultant
☐ (5) commodity pool operator, commodity trading adviser or futures commission merchant ☐ (11) real estate broker or dealer
☒ (6) banking or thrift institution ☐ (12) entity that creates or packages limited partnerships

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?.. Yes No
☐ ☒

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

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Applicant: Allen, Mooney & Barnes
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9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sell for itself securities it also recommended to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- 10. Conditions for Managing Accounts.** Does the applicant provide investment advisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other condition for starting or maintaining an account?

Yes No
☐ ☒

(If yes, describe on Schedule F)

- 11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory account, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

An investment committee comprised of the managing partners, portfolio manager, chief market strategist, and financial advisors meets twice weekly. The committee discusses investment strategies, securities markets outlook, and merits of individual issues in which the accounts are invested or which are contemplated for investment. Additional analysis is undertaken by each investment advisor for each account they are assigned. The account review committee, which includes the managing partners and portfolio manager, meets monthly or more frequently on an as needed basis to further discuss each accou

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Portfolio evaluations and analyses are prepared for either monthly or quarterly periods based on the preference of the client. Monthly portfolio appraisals are sent to clients by custodians.

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Applicant: Allen, Mooney & Barnes
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01/20/2010

12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- | | | |
|--|-------------------------------------|-------------------------------------|
| | Yes | No |
| (1) securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (2) amount of securities to be bought or sold? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| (3) broker or dealer to be used? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| (4) commission rates paid? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ☐ Yes ☒ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- ☐ the products, research and services
- ☐ whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- ☐ whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- ☐ any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for product and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|-------------------------------------|-------------------------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes | No |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes | No |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
- requires prepayment of more than \$500 in fees per client and 6 or more months in advance

Has applicant provided a Schedule G balance sheet?..... ☐ Yes ☒ No

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1)

**Schedule F of
FORM ADV
Continuation Sheet for Form ADV Part II**

Applicant:
Allen, Mooney & Barnes
Investment Advisors, LLC

SEC File Number:
801- 60350

Date:
01/20/2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:												
Item of Form (identify)	Answer													
1.	<p>The investment advisory and administrative service fees, negotiated between the client and Allen, Mooney & Barnes Investment Advisors, LLC are typically stated as a percentage of the market value of the assets in the account. The market values are computed at the end of each calendar quarter and billed for the quarter ended. The fee may include a commission component from the transaction costs incurred as part of equity, bond or option trading for the account on an ongoing basis. The maximum annual fee is 3.0% of assets with the commission component included. The fee schedule, shown as an annual rate based on net assets value across a client's total accounts, is:</p> <table border="1"> <thead> <tr> <th>Assets</th> <th>Fee</th> </tr> </thead> <tbody> <tr> <td>\$500,000 and below</td> <td>3.0%</td> </tr> <tr> <td>\$500,000 - \$1,000,000</td> <td>2.5%</td> </tr> <tr> <td>\$1,000,000 - \$2,500,000</td> <td>2.0%</td> </tr> <tr> <td>\$2,500,000 - \$5,000,000</td> <td>1.5%</td> </tr> <tr> <td>\$5,000,000 and above</td> <td>1.25%</td> </tr> </tbody> </table> <p>These fees are negotiable based upon the advisor recommendation and client relationship.</p> <p>Investment Objectives: Allen, Mooney & Barnes Investment Advisors, LLC (AM&B) seeks capital appreciation principally through investment in equity securities.</p> <p>Investment Process: AM&B follows a team-oriented investment process. Our initial universe encompasses approximately 3500 companies, with a strong emphasis on sector allocation. A top-down approach is applied to identify sectors of the economy that should be beneficiaries of current economic conditions. We then examine specific corporations within these groups for potential inclusion on our list of companies for further research and analysis. Our bottom-up approach provides flexibility for researching companies without the top-down blueprint. When we apply valuation criteria to the universe of stocks, the group is substantially narrowed. After narrowing the universe, we utilize fundamental security analysis. To confirm our assumptions, we use proprietary statistical software to evaluate several quantitative factors prior to purchase. The Portfolio Manager has final approval of the investments. Approved investments are purchased universally for all accounts following the model of the manager. In our primary model, our investment process is not governed or constrained by the strict boundaries of traditional growth, income, or value definitions, nor do we confine our selections process to the floating definitions of micro, small, medium, or large capitalization companies. Through this flexible approach, we strive to discover investment opportunities utilizing traditional measures and to preserve capital, utilizing specific stop-loss measures. We assign price objective of 30% appreciation in value. At this time the portfolio manager decides to capture the gain or continue to hold the security. If a security declines 15% from purchase cost, we review and if there has not been a dramatic change in fundamentals, we will consider adding to the position. We consider liquidating an equity position if a company's management loses focus, sells off assets or the stock price falls more than 20% relative to the market. The final decision to liquidate a security is determined by the portfolio manager.</p>		Assets	Fee	\$500,000 and below	3.0%	\$500,000 - \$1,000,000	2.5%	\$1,000,000 - \$2,500,000	2.0%	\$2,500,000 - \$5,000,000	1.5%	\$5,000,000 and above	1.25%
Assets	Fee													
\$500,000 and below	3.0%													
\$500,000 - \$1,000,000	2.5%													
\$1,000,000 - \$2,500,000	2.0%													
\$2,500,000 - \$5,000,000	1.5%													
\$5,000,000 and above	1.25%													

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**Schedule F of
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Continuation Sheet for Form ADV Part II**

Applicant:
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Date:
01/20/2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
	Allen, Mooney , & Barnes Investment Advisory clients can elect to have their assets managed following the AMB model or can elect for their assets to be managed on an individual basis by their financial advisor. The same security could be purchased or liquidated on any day based on the clients selected portfolio and/or model.	
2.	Allen, Mooney & Barnes Investment Advisors, LLC provides investment advisory and administrative services to individuals, corporations, trusts, endowments, pension and profit sharing plans, and foundations.	
5.	Allen, Mooney & Barnes Investment Advisors, LLC generally requires individuals involved in determining or giving investment advice to clients to have a bachelors degree from a college or university. However, individuals with more than five years of experience in the financial industry are treated equivalent to those with a bachelors degree.	
6.	<p>M.H. Allen, Jr. - Managing Partner</p> <ul style="list-style-type: none"> - Born August 7, 1951 - B/S in Business Administration - Georgia Southern University - Managing Partner of Allen, Mooney & Barnes Investment Advisors (formerly Allen & Mooney Investment Advisors) 2001 - date - Vice President, Shields & Company 1989-2001 <p>Richard G. Mooney, III - Managing Partner</p> <ul style="list-style-type: none"> - Born June 9, 1952 - B/S in Business Administration - Georgia Southwestern University - Managing Partner of Allen, Mooney & Barnes Investment Advisors (formerly Allen & Mooney Investment Advisors) 2001 - date - Vice President Shields & Company 1989-2001 <p>Travis (Stan) Barnes, CFP, CLU - Managing Partner</p> <ul style="list-style-type: none"> - Born February 10, 1960 - B/A Washington & Lee University - Lexington, VA - M.B.A. Emory University - Atlanta, GA - C.F.P. College for Financial Planning - Denver, CO - Managing Partner of Allen, Mooney & Barnes Investment Advisors, LLC 9/2005 - date - Vice-President, BB&T Landrum Yeager, 2002-9/2005 - Vice-President, Landrum Yeager & Associates, 1998-2002 	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)

**Schedule F of
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Applicant:
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Date:
01/20/2010

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
6. cont'd.	<p>Gregory Haywood Adams, Chief Investment Strategist</p> <ul style="list-style-type: none"> - Born February 5, 1948 - B.S.I.M. - Georgia Institute of Technology - Chief Investment Strategist of Allen, Mooney & Barnes Investment Advisors, LLC 2001 - date - Chief Investment Strategist of Shields & Company 10/1999 to 1/2001 - President of Adams International Trucking 1/1971 to 7/1999 <p>William F Drake, III, Portfolio Manager</p> <ul style="list-style-type: none"> - Born 12/26/1962 - BA Fiance from Ohio State University - Portfolio Manager at Allen, Mooney & Barnes Investment Advisors, LLC 2007 - date - Owner and Equity Trader for JAW Trading LLC from March 2004 to March 2007 - Equity Trader at Schonfeld Securities August 1994 to March 2004 <p>Robby Lee Pitts - Financial Advisor</p> <ul style="list-style-type: none"> - Born March 15, 1961 - B/S from Brewton- Parker College - Financial Advisor at Allen, Mooney & Barnes Investment Advisor LLC 1/2001 to date - Financial Advisor at Shields & Company 5/2000 to 1/2001 - Financial Consultant at Investment Management Advisors 9/1998 to 5/2000 - Financial Consultant at Edward Jones in Thomasville 6/1997 to 9/1998 <p>Gordon Daniel (Danny) MacQuirter</p> <ul style="list-style-type: none"> - Financial Advisor - Born November 12, 1960 - B/S from Georgia Southwestern University - Financial Advisor for Allen, Mooney & Barnes Investment Advisors LLC 6/2002 - date - Sales Manager for Thomasville Sales Co 7/2001 to 5/2002 - General Manager for Plantation Automotive 12/1999 to 6/2001 - General Manager for Plantation Chrysler-Plymouth-Dodge 3/1994 to 12/1999 	

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**Schedule F of
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Continuation Sheet for Form ADV Part II**

Applicant:
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other Schedules)

1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
6. cont'd	<p>Carla Roach, Chief Compliance Officer</p> <ul style="list-style-type: none"> - October 15, 1960 - Attended Indiana University - Purdue University Indianapolis - Chief Compliance Officer with Allen, Mooney & Barnes Investment Advisors, LLC 2007 to date - Chief Compliance Officer with Allen, Mooney & Barnes Brokerage Services, LLC 2007 to date - Branch Manager with Allen, Mooney & Barnes Investment Advisors, LLC 2000 to 2007 - Employee Improvement Instructor with Indiana Bell Telephone 1979 to 1995 <p>Thomas (Tom) Callaway</p> <ul style="list-style-type: none"> - February 15, 1949 - BBA in Finance University of Georgia - Financial Advisor with Allen, Mooney & Barnes Investment Advisors, LLC 2009 - date - President & CEO Commercial Bank 2005 - 2009 - President & COO Commercial Bank 2004 - 2005 - Senior Vice President Commercial Bank 1992 - 2004 <p>Timothy (Tim) Wayne Bean</p> <ul style="list-style-type: none"> - Born April 5, 1972 - B/A English Literature Florida State University 1997 - B/S International Affairs Florida State University 2004 - Assistant Portfolio Manager with Allen, Mooney & Barnes Investment Advisors, LLC 2005 to date 	
8.	<p>Allen, Mooney & Barnes Investment Advisors, LLC is associated with Raymond James & Associates, Inc. (RJA). RJA is a clearing firm, member of the New York Stock Exchange, and a registered investment advisor. RJA acts as the clearing firm and/or custodian for clients of Allen, Mooney & Barnes Investment Advisors, LLC. A portion of the costs from charges incurred to complete transactions within client accounts may be provided to Allen, Mooney & Barnes Brokerage Services, LLC (AMBBS). AMBBS an affiliated company, acts as Broker Dealer for Allen, Mooney & Barnes Investment Advisors, LLC.</p>	

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
8. cont'd	Allen, Mooney & Barnes Investment Advisors, LLC is also associated with Farmers & Merchants Bank and Citizens Bank (banking institutions), Tillman Insurance Agency and AMB Client Services (Insurance Agencies) and Wealth Advisors-Southeast, an advisory firm. These associations include referrals of clients and payment for referrals.	
9.	<p>Raymond James& Associates(RJA), an associated company, acts as a market maker for various securities, including over-the-counter stocks, municipal and government bonds as well as limited partnerships. All transactions must be executed at the best price in the market. Principal transactions in advisory accounts do not take place unless it is according to Section 206 of the Investment Advisors Act of 1940. Raymond James & Associates and AMBBS do not act as a principal on any transactions. Because Allen, Mooney & Barnes and its employees have a fiduciary relationship to clients, there is an affirmative duty not to overreach or disadvantage any client or otherwise take unfair advantage of his/her trust. Officers and Employees of Allen, Mooney & Barnes Investment Advisors may purchase or sell the same securities as our clients, according to the guidelines established in the AM&B "Code of Ethics". The Code of Ethics is in place to ensure transactions of employees do not disadvantage our clients. The AM&B Code of Ethics places restrictions on employee trading including black-out periods, short term trading, and active trading by employees in their own account(s). The Chief Compliance Officer (or designee) monitors all personal securities transactions of all AM&B employees to ensure that such persons are fulfilling their fiduciary responsibilities to AM&B clients. In addition to monitoring securities transactions, the Chief Compliance Officer will take all reasonable steps to determine that all employees of AM&B comply with our Code of Ethics. A Copy of our Code of Ethics is available to all clients upon request.</p>	

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1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:		IRS Empl. Ident. No.:
Item of Form (identify)	Answer	
12 a. and b.	<p>Under the contract Allen, Mooney & Barnes Investment Advisors uses with its clients, AM&B purchases and sells securities for client accounts without the requirement to contact the client. However, clients may place specific restrictions on the securities to be bought and sold in their portfolios at any time. Allen Mooney & Barnes Investment Advisors has a responsibility to ensure that clients receive "best execution" for the transactions effected in their accounts. In that regard, on at least a quarterly basis, the Firm reviews order execution reports from Raymond James to ensure that Raymond James is proactively seeking to execute client transactions at the best available price. Raymond James & Associates as custodian executes all AM&B client orders. If clients request use of another custodian, AM&B will review and evaluate the request as to whether this would be in the client's best interest. Although, AM&B cannot guarantee the best price on all transactions, the totality of services received from RJA validate their selection to execute client orders.</p>	
13.	<p>Allen, Mooney & Barnes Investment Advisors, LLC also utilizes the outside money managers Eagle Assets Managers, Inc. and Brandes Investment Partners, LLC through Raymond James Consulting Service (RJCS). Allen, Mooney & Barnes Investment Advisors has developed a Disaster Recovery Plan which explains how it will respond to events that may significantly disrupt our business. Securities industry regulations require member firms to create and maintain a plan reasonably designed to meet its obligations to its clients and other counter-parties. Since the timing and impact of potential disasters and disruptions are unpredictable, the plan is designed to be flexible and responsive to actual events as they occur.</p> <p>Unless the right of proxy voting is specifically retained in writing by the client, Allen, Mooney & Barnes Investment Advisors pursuant to SEC Rule 206-4(6) and effect August 6, 2003, will receive and vote all proxies on behalf of Advisory clients. A copy of the AM&B Proxy Voting Policy is available upon request.</p> <p>Allen, Mooney & Barnes Investment Advisors, LLC has written relationships with others that require compensation for client referrals. Payments for such referrals are either a percentage of assets referred or percentage of fees charged to the client for investment advisory services. The fees are paid as long as the referred client is retained. Allen, Mooney & Barnes Investment Advisors currently has fee sharing arrangements with professional partners, Wealth Advisors-SouthEast, F. Alton Garrett, Tillman Insurance and AMB Client Services. Mr. Garrett also acts as a consultant to the advisory firm.</p>	

(Complete amended pages in full, circle amended items and file with execution page (page 1).)