

AUG 21 2017

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT

FORM B

For New Members, Candidates, and New Employees

LEGISLATIVE RESOURCE CENTER

17 AUG 24 AM 9:23

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVESName: SEAN CASTEN

Daytime Telephone: _____

New Member of or Candidate for State: IL
U.S. House of Representatives District: 6TH
Candidates - Date of Election: MARCH 20, 2018☐ Check if
Amendment

(Office Use Only)

FILER
STATUS☒ New Member of or Candidate for
U.S. House of Representatives
Candidates - Date of Election: MARCH 20, 2018☐ New Officer or Employee
Employing Office: _____
Shared ☐ Principal Assistant ☐Period Covered: January 1, 2015
to 12/31/16A \$200 penalty shall be assessed against any
individual who files more than 30 days late.

PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child:

- a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period?
- or
-
- b. Receive more than \$200 in unearned income from any reportable asset during the reporting period?

Yes ☒ No ☐

E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?

Yes ☒ No ☐

- C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the reporting period?

Yes ☒ No ☐

F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing?

Yes ☒ No ☐

- D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period?

Yes ☐ No ☒

J. Did you receive compensation of more than \$5,000 from a single source in the current year and two prior years?

Yes ☒ No ☐

ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"

THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE REQUIRED TO COMPLETE

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER BOTH OF THESE QUESTIONS

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 that benefits you, your spouse, or dependent child?

Yes ☐ No ☒

EXEMPTION - Have you excluded from this report any other assets, "unearned" income, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.

Yes ☐ No ☒

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Use additional sheets if more space is required.

SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: **SEAN CASTEN**

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BLOCK A		BLOCK B													BLOCK C							BLOCK D																								
Assets and/or Income Sources		Value of Asset													Type of Income							Amount of Income																								
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	Current Year												Preceding Year											
		None	\$1-\$1,000	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII
	101K SUMMARY																																													
	FIDELITY BLUE CHIP GROWTH FUND					X															X																									
	FIDELITY LARGE CAP STOCK FUND				X																X																									
	FIDELITY MID CAP VALUE FUND				X																X																									
	VANGUARD LARGE CAP INDEX FUND				X																X																									
	VANGUARD MID CAP INDEX FUND				X																X																									
	STANIS HENDERSON INDEX FUND CLASS A				X																X																									
	INVESTMENT INTERNATIONAL GROWTH FUND RS CLASS				X																X																									
	INVESTMENT ADVANTAGE DIVIDEND FUND RS CLASS				X																X																									
	VANGUARD TOTAL INTERNATIONAL STOCK INDEX FUND				X																X																									
	BOOGE & COX INTERNATIONAL STOCK FUND				X																X																									
	FIDELITY REAL ESTATE INVESTMENT PORTFOLIO				X																X																									
	AMERICAN BENTLEY SMALL CAP VALUE FUND				X																X																									
	WILLIS TOWERS WATSON COMPANY GROWTH FUND				X																X																									

Other Assets Owned by Sean Casten

Asset Name	Value of Asset	Type of Income	Amount of Income	
			Current Year	Prior Year
Held by Sean & Kara Casten				
Powershare FTSE RAFI 1000 Portfolio ETF	\$15,001 - \$50,000	Dividend		
Schwab Fundamental Emerging Markets Large Company Index ETF	\$1,001 - \$15,000	Dividend		
Schwab Fundamental International Large Company Index ETF	\$1,001 - \$15,000	Dividend		
Schwab Fundamental US Broad Market Index ETF	\$1,001 - \$15,000	Dividend		
Schwab Fundamental International Small Company Index Fund	\$15,001 - \$50,000	Dividend		
Total of lines 1-5			\$1,001 - \$2,500	None
100% owner of Sean Casten 12/28/95 Trust, which in turn owns the following:				
Cash	\$50,001 - \$100,000	Interest		
Aberdeen Global High	\$15,001 - \$50,000	Dividend		
Glenmede Small Cap Equity	\$50,001 - \$100,000	Dividend		
Schwab Fundamental Emerging Markets Large Company Index ETF	\$50,001 - \$100,000	Dividend		
Schwab Fundamental International Large Company Index ETF	\$15,001 - \$50,000	Dividend		
Powershare FTSE RAFI 1000 Portfolio ETF	\$50,001 - \$100,000	Dividend		
Total of lines 7-11			\$2,501 - \$5,000	\$2,501 - \$5,000
See Note 2				
Casten Family Limited Liability Corporation (CFLC)	\$1,000,001 - \$5,000,000	Income (K-1)		
		Interest	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
		Dividend	\$201 - \$1,000	\$1,001 - \$2,500
		Capital Gains	\$1 - \$200	\$2,501 - \$5,000
				\$1 - \$200
				See Note 4
				See Note 4
				See Note 4

SCHEDULE C – EARNED INCOME

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INCOME LIMITS and PROHIBITED INCOME: Be advised that the income limit and prohibited income may apply to you after you are on House payroll. The 2016 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$27,495. The 2017 limit is \$27,765. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited for Members and senior staff.

[illegible]

SCHEDULE D - LIABILITIES

Name: **SEAN CASTEN**

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. **New Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. *Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	Amount of Liability										
				A \$10,001- \$15,000	B \$15,001- \$50,000	C \$50,001- \$100,000	D \$100,001- \$250,000	E \$250,001- \$500,000	F \$500,001- \$1,000,000	G \$1,000,001- \$5,000,000	H \$5,000,001- \$25,000,000	I \$25,000,001- \$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Liability)
	Example First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							

SCHEDULE E - POSITIONS

Report all positions, compensated or uncompensated, as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. **Exclude:** Positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature. **New Members and second-year candidates** report positions held in the reporting period and the current calendar year. **First-year candidates and new employees** report positions held in the current calendar year and two previous years.

Position	Name of Organization
PRESIDENT & CEO	RED PARENT, LLC (AND SUBSIDIARY ENTITIES)

SCHEDULE F - AGREEMENTS

Name: SEAN CASTEN

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Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties to Agreement	Terms of Agreement
9/16	SEAN CASTEN / RONLARO ENERGY	6 MONTH CONSULTING AGREEMENT, ENDING MARCH 2017

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

Report sources of compensation received by you or your business affiliation for services provided directly by you during the current year and two prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat information listed on Schedule C.

Source (Name and City/State)		Brief Description of Duties
Example:	Doe Jones & Smith, Hometown, Homestate	Accounting Services
RECYCLED ENERGY DEVELOPMENT		SALARY & BONUS IN MY CAPACITY AS PRESIDENT & CEO
RONLARO ENERGY PARTNERS		CONSULTING SERVICES DURING 6 MONTH TRANSITION PERIOD AFTER THEY PURCHASED RECYCLED ENERGY DEVELOPMENT

FILER NOTES
(Optional)

Name: SEAN CASTEN

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NOTE NUMBER	NOTES
1	2016 K-1 ALLOCATED RENTAL INCOME WAS <u>NEGATIVE</u> (\$1,396)
2	LISTED INVESTMENTS ARE IN A SINGLE ACCOUNT; TOTAL DIVIDEND INCOME SHOWN
3	COMPANY WAS SOLD IN SEPTEMBER 2016. VALUE SHOWN IS VALUE OF ESCROW AND CASH RESERVES, NET OF ANTICIPATED WIND DOWN EXPENSE.
4	WAS AN EQUITY INVESTMENT. SEAN/CASTEN ARE 25% OWNERS OF THE COMPANY.
5	SEAN CASTEN OWNS 100% OF THE SEAN CASTEN 12/20/95 TRUST, WHICH HOLDS A
	VARIETY OF CASH AND EQUITY ASSETS DETAILED HEREIN. THE SEAN CASTEN 12/20/95
	TRUST ALSO OWNS A 33.33% STAKE IN CASTEN FAMILY LLC, AN INVESTMENT
	VEHICLE WITH MULTIPLE UPSTREAM HOLDINGS. CASTEN FAMILY LLC IS REPORTED
	AS A SINGLE ENTITY HEREIN, WITH ASSET VALUES AND INCOME ALLOCATION
	BASED ON THE SEAN CASTEN 12/20/95 TRUST'S 33.33% STAKE.