



Filing ID #10028702

FINANCIAL DISCLOSURE REPORT

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

FILER INFORMATION

Name: Hon. S. Raja Krishnamoorthi
Status: Member
State/District: ILo8

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 08/5/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Illinois' Bright Start 529 Child a ⇒ Equity Portfolio [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All these assets were transferred into the proper Index Age 13-14 portfolio for our first son.					
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 13-14 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age-Based 19+ Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
COMMENTS: These assets were transferred entirely to Index Moderate Age Based 13-14 because the original investment in the 19+ Index Fund was for the wrong age of our first child, who is actually 14 years old.					
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 9-10 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Illinois' Bright Start 529 child b ⇒ Index Moderate Age-Based 06-08 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
COMMENTS: The assets in this fund were automatically shifted to the next age range index fund for my son on his birthday of May 22, 2018, when he turned 9. In this case, the fund automatically shifted to Index Moderate Age Based 9-10.					
Illinois' Bright Start 529 child c ⇒ Index Moderate Age-Based 0-2 Portfolio [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
JP Morgan Chase (various accounts) [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Lincoln Financial Old 401k ⇒ Vanguard Target Retirement 2040 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
COMMENTS: All the assets were rolled over to Matangi Priyasri Bala IRA at TD Ameritrade.					
M. Priya Bala Rollover IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All the assets were transferred from RMB to Matangi Priyasri Bala IRA at TD Ameritrade by the end of 2018.					
M. Priya Bala Roth IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All these assets were transferred from RMB to Matangi Priyasri Bala Roth IRA at Ameritrade by the end of 2018.					
M. Priyasri Bala Vanguard Retirement 2040 ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	None		<input type="checkbox"/>
COMMENTS: All the assets were transferred from RMB to Matangi P Bala Retirement Fund at TD Ameritrade.					
Matangi P Bala Retirement Fund TD Ameritrade ⇒ Insured Deposit Acct [OT]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: This is a cash-equivalent Insured Deposit Account					
Matangi P Bala Retirement Fund TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Matangi P Bala SEP IRA TD Ameritrade ⇒ Insrd Dep Acct [IH]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: The cash in this account was used to purchase Vanguard Target Date 2050 mutual funds so there was no longer any cash above the reportable limit at year end.					
Matangi P Bala SEP IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Matangi Priyasri Bala Roth IRA TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Matangipriyasri Bala IRA TD Ameritrade ⇒ Insrd Dep Acct [IH]		None	Tax-Deferred		<input checked="" type="checkbox"/>
COMMENTS: The cash in this IRA was used to purchase mutual funds, so there is no cash at the reportable level.					
Matangipriyasri Bala IRA TD Ameritrade ⇒		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Vanguard Target Retirement 2040 (VFORX) [MF]					
Matangipriyasri Bala IRA TD Ameritrade ⇒ VANGUARD TARGET RETIREMENT 2045 FUND (VTIVX) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Metlife Flexible Premium Multifunded Life Insurance ⇒ Blackrock Bond Income Portfolio [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Metlife Flexible Premium Multifunded Life Insurance ⇒ Frontier Midcap Growth Portfolio [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Metlife Flexible Premium Multifunded Life Insurance ⇒ MetLife Stock Index Portfolio [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Metlife Flexible Premium Multifunded Life Insurance ⇒ Neuberger Berman Genesis Portfolio [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Priya 401k from Midwest Anesthesia Partners ⇒ Schwab Target 2050 Index (SWYMX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Priya 401k from Midwest Anesthesia Partners ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Rental property at 3260 N Clark St, Unit 408, Chicago, IL 60657 [RP] LOCATION: Chicago, IL, US		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
Rental property at 410 Lafayette Lane, Hoffman Estates, IL 60169 [RP] LOCATION: Hoffman Estates, IL, US		\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
Restricted shares of EPIR Technologies [PS] DESCRIPTION: Bolingbrook, IL company		\$50,001 - \$100,000	None		<input type="checkbox"/>
Restricted shares of Episensors [PS] DESCRIPTION: Bolingbrook, IL company		\$50,001 - \$100,000	None		<input type="checkbox"/>
Restricted shares of Health-I-Pass [PS]		\$15,001 - \$50,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Oak Brook, IL company.					
S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: This asset was transferred from RMB to Subramanian R Krishnamoorthi IRA at TD Ameritrade by the end of 2018.					
S. Raja Krishnamoorthi Roth IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All these assets were transferred from RMB to Subramanian R Krishnamoorthi Roth IRA at TD Ameritrade.					
S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ⇒ Fidelity Cash Reserves [IH]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All these assets were transferred to Subramanian Raja Krishnamoorthi SEP IRA at TD Ameritrade.					
S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: All the assets were transferred from RMB to Subramanian Raja Krishnamoorthi SEP IRA at TD Ameritrade.					
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: This asset appears to be a duplicate that was included in error in the last financial disclosure. In any case, it has no value since the assets were transferred to SRK Solo 401k at TD Ameritrade					
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ Vanguard Target Retirement 2040 [MF]		None	Tax-Deferred		<input type="checkbox"/>
COMMENTS: Once housed at RMB, this fund has zero value now because the Vanguard mutual fund holdings were transferred in 2018 from RMB to Ameritrade.					
SRK Solo401k TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
State of Illinois Deferred Compensation [DB]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
COMMENTS: Though I no longer make any contributions to the Plan, I am still a participant due to my past contributions. I am not fully vested to be eligible for a pension.					
Subramanian Krishnamoorthi & Matangi Bala Joint RMB Retirement Fund ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		None	None		<input type="checkbox"/>
COMMENTS: The assets in this account were transferred entirely from this RMB to TD Ameritrade.					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Subramanian Krishnamoorthi & Matangi Bala Retirement Account at TD Ameritrade ⇒ Ameritrade cash reserves [OT]		\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: This was a deposit of \$30,000 into the account at the end of 2018 for purposes of investment in 2019.					
Subramanian Krishnamoorthi & Matangi Bala Retirement Account at TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Subramanian R Krishnamoorthi IRA TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Subramanian R Krishnamoorthi IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund (VTIVX) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Subramanian R Krishnamoorthi Roth IRA TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Subramanian Raja Krishnamoorthi SEP IRA TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

* 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 B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 13-14 [MF]		01/10/2018	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 13-14 [MF]		12/31/2018	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 6-8 [MF]		01/2/2018	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 9-10 [MF]		12/31/2018	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 child c ⇒ Index Moderate Age Based 0-2 [MF]		12/31/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lincoln Financial Old 401k ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		09/1/2018	S	\$50,001 - \$100,000	<input type="checkbox"/>
Matangi P Bala Retirement Fund TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		12/31/2018	P	\$1,001 - \$15,000	
Matangi P Bala SEP IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		08/24/2018	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 (VTIVX) [MF]		12/27/2018	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 (VTIVX) [MF]		12/31/2018	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		08/24/2018	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		09/5/2018	P	\$50,001 - \$100,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		12/31/2018	P	\$1,001 - \$15,000	
Priya 401k from Midwest Anesthesia Partners ⇒ Schwab Target 2050 Index Fund (SWYMX) [MF]		11/15/2018	P	\$1,001 - \$15,000	
Priya 401k from Midwest Anesthesia Partners ⇒ Vanguard Target Retirement 2050 (VFIFX) [MF]		08/31/2018	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi IRA TD Ameritrade ⇒ Vanguard Target Retirement 2040 (VFORX) [MF]		12/31/2018	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 (VTIVX) [MF]		12/27/2018	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 (VTIVX) [MF]		12/31/2018	P	\$1,001 - \$15,000	

* 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	Type	Amount
Northstar Anesthesia/Norwegian Hospital	Spouse Salary	N/A
Midwest Anesthesia Partners	Spouse Salary	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Sierra Pacific	August 2012	Rental property mortgage on 410 Lafayette Ln, Hoffman Estates, IL 60169	\$100,001 - \$250,000
JT	Nationstar	July 2012	Rental property mortgage on 3260 N Clark St, Unit 408, Chicago, IL 60657	\$100,001 - \$250,000
SP	Edfinancial Services	July 2000	Medical school loans for spouse	\$100,001 - \$250,000
JT	Citizens One	July 2013	Home mortgage	\$250,001 - \$500,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
September 2007	Me and the State of Illinois	State of Illinois Deferred Compensation Plan - Though I no longer make any contributions to the Plan, I am still a participant due my past contributions. I am not fully vested to be eligible for a pension.
January 2007	Me and Kirkland and Ellis LLP - Randolph Street Investment Partners LP, 2007 PEF	Though I no longer make any contributions to the Fund, I am still a participant due to my past contributions which amount to 0.023% of the Fund's investments.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Government of India	04/3/2018	04/7/2018	Chicago, IL - New Delhi, India - Houston, TX	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
COMMENTS: This was a MECEA trip. I returned to Houston, TX to speak at an event there on the night of April 7, 2018.							

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"> ◦ Illinois' Bright Start 529 Child a LOCATION: IL ◦ Illinois' Bright Start 529 child b LOCATION: IL ◦ Illinois' Bright Start 529 child c LOCATION: IL ◦ Lincoln Financial Old 401k ◦ M. Priya Bala Rollover IRA Vanguard 2040 Retirement ◦ M. Priya Bala Roth IRA Vanguard 2040 Retirement ◦ M. Priyasri Bala Vanguard Retirement 2040 ◦ Matangi P Bala Retirement Fund TD Ameritrade ◦ Matangi P Bala SEP IRA TD Ameritrade ◦ Matangi Priyasri Bala Roth IRA TD Ameritrade ◦ Matangipriyasri Bala IRA TD Ameritrade ◦ Metlife Flexible Premium Multifunded Life Insurance LOCATION: US ◦ Priya 401k from Midwest Anesthesia Partners ◦ S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement ◦ S. Raja Krishnamoorthi Roth IRA Vanguard 2040 Retirement ◦ S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ◦ SRK Solo 401k Vanguard 2040 Retirement Fund ◦ SRK Solo401k TD Ameritrade ◦ Subramanian Krishnamoorthi & Matangi Bala Joint RMB Retirement Fund ◦ Subramanian Krishnamoorthi & Matangi Bala Retirement Account at TD Ameritrade ◦ Subramanian R Krishnamoorthi IRA TD Ameritrade ◦ Subramanian R Krishnamoorthi Roth IRA TD Ameritrade
--

- Subramanian Raja Krishnamoorthi SEP IRA TD Ameritrade

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

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: Hon. S. Raja Krishnamoorthi , 08/5/2019