



Filing ID #10024148

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2017  
**Filing Date:** 08/13/2018

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
ADP 401k plan ⇒ Alger Small Cap [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Delafield Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Janus Forty Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Oppenheimer Global Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
ADP 401k plan ⇒ PIMCO Real Return [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Thornburg Value Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Illinois' Bright Start 529 Child a ⇒ Equity Portfolio [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Illinois' Bright Start 529 Child a ⇒		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Index Moderate Age-Based 19+ Portfolio [MF]					
Illinois' Bright Start 529 child b ⇒ Index Moderate Age-Based 06-08 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Illinois' Bright Start 529 child c ⇒ Index Moderate Age-Based 0-2 Portfolio [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
JP Morgan Chase (various accounts) [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Lincoln Financial 401k ⇒ Am Century Mid Cap Value [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Am Fds Cap World Growth & Income R4 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Am Fds Europacific Gr R4 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Franklin Custodian Growth Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Lincoln Stable Value Acct-J83 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Prudential Total Return [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Vanguard Target Retirement 2040 [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Vanguard Value Index [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Emerging Markets Core Equity Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Intl Small Co Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Japanese Small Co Fd [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ Aqr Multi Strgy Alternative Cl I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ Baird Fds Inc Shrt Tem Bd I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA Emerging Mkts Core Equity Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA Intl Small Co Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
M. Priyasri Bala Baird Mun Bond Fd ⇒ Baird Int Muni Bond Cl I [MF]		None	None		<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA Emerg Mkts Core Equity Portfolio [MF]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA Intl Small Co Portfolio [MF]		None	None		<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA Japanese Small Co Fd [MF]		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priyasri Bala Vanguard Retirement 2040 ⇒		\$100,001 -	Capital Gains,	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$250,000	Dividends		
Matangi B Bala SEP IRA TD Ameritrade ⇒ Insrd Dep Acct [IH]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Matangipriyasri Bala IRA TD Ameritrade ⇒ Insrd Dep Acct [IH]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Matangipriyasri Bala IRA TD Ameritrade ⇒ VANGUARD TARGET RETIREMENT 2045 FUND [MF]		\$100,001 - \$250,000	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"/>
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 LC Capital App Taxable ⇒ American Beacon Sim High Yld Opps Inst [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Angel Oak Multi-Strategy Inc Inst [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Aqr Multi Strgy Alt Cl I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Baird FDS Inc Short Trm Bd I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Emerging Markets Core Equity Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Intl Small Company Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Japanese Small Co Fd [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Hartford Fltng Rate High Income Fd Cl I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ JPMorgan Mort Sec Sel [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Lord Abbett Info Focused Bond Fd I [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Taxable ⇒ Pimco Comm Real Return I [MF]					
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Sptn Real Es IDX Adv [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Tortoise MLP and Pipe Fund Inst Cl [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Roth IRA LC Growth Focused Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Roth IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi SEP IRA LC Growth Focused Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ⇒ Fidelity Cash Reserves [IH]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA Japanese Small Co Fd [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ VANGUARD TARGET RET 2040 FD INVESTOR CL [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ Vanguard Target Retirement 2040 [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" 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 R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund [MF]		\$100,001 - \$250,000	Tax-Deferred		<input checked="" 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?
ADP 401k plan ⇒ Alger Small Cap Growth [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Delafield Fund [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Janus Forty Fund [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Oppenheimer Global Fund [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
ADP 401k plan ⇒ PIMCO Real Return [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
ADP 401k plan ⇒ Thornburg Value Fund [MF]		04/4/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Illinois' Bright Start 529 Child a ⇒ Equity Portfolio [MF]		07/14/2017	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 Child a ⇒ Equity Portfolio [MF]		06/30/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 19+ [MF]		07/14/2017	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 19+ [MF]		08/17/2017	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 Child a ⇒ Index Moderate Age Based 19+ [MF]		06/30/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 06-08 [MF]		07/14/2017	P	\$15,001 - \$50,000	
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 06-08 [MF]		08/17/2017	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 child b ⇒ Index Moderate Age Based 06-08 [MF]		06/30/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Illinois' Bright Start 529 child c ⇒ Index Moderate Age Based 0-02 [MF]		07/14/2017	P	\$1,001 - \$15,000	
Illinois' Bright Start 529 child c ⇒ Index Moderate Age Based 0-02 [MF]		06/30/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ Am Century Mid Cap Value [MF]		03/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ AM Fds Cap World Growth & Income R4 [MF]		03/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ AM Fds EuroPacific Gr R4 [MF]		03/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ Franklin Growth [MF]		03/1/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Lincoln Financial 401k ⇒ JPM Core Bond R6 [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ JPM Core Bond R6 [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Lincoln Stable Value Account -J83 [MF]		03/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Lincoln Financial 401k ⇒ Lincoln Stable Value Account-Z116 [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ Lincoln Stable Value Z116 [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ MFS Growth [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ MFS Growth [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ MFS International Diversification R4 [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ MFS Intl Diversification R4 [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Pgim Ttl Return [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Prudential Total Return [MF]		03/1/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ T Rowe Value [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ T Rowe Value [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Vanguard 500 Index Admiral Shares [MF]		03/2/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lincoln Financial 401k ⇒ Vanguard 500 Index Admiral Shares [MF]		03/1/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Vanguard Target Retirement 2040 [MF]		12/28/2017	P	\$1,001 - \$15,000	
Lincoln Financial 401k ⇒ Vanguard Target Retirement 2040 [MF]		03/2/2017	P	\$15,001 - \$50,000	
Lincoln Financial 401k ⇒ Vanguard Value Index [MF]		03/1/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Core Equity 1 Portfolio [MF]		01/3/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Emerging Mkts Core Equity Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Intl Small Co Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA LC Growth Focused Equity ⇒ DFA Japanese Small Co Fd [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priya Bala Rollover IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/13/2017	P	\$15,001 - \$50,000	
M. Priya Bala Roth IRA LC Cap App Tax ⇒ Aqr Multi Strgy Alternative CL I [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ Baird FDS Inc Shrt Trm Bd I [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA Emerg Mkts Core Equity Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA Intl Small Co Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA LC Cap App Tax ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priya Bala Roth IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/13/2017	P	\$15,001 - \$50,000	
M. Priyasri Bala Baird Mun Bond Fd ⇒ Baird Intermediate Muni Bond Cl I [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
M. Priyasri Bala Baird Mun Bond Fd ⇒ Baird Intermediate Muni Bond Cl I [MF]		01/3/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA Emerg Mkts Core Equity Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒		01/3/2017	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DFA Intl Small Co Portfolio [MF]					
M. Priyasri Bala LC Growth Equity ⇒ DFA Japanese Small Co Fd [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M. Priyasri Bala LC Growth Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
M. Priyasri Bala Vanguard Retirement 2040 ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/13/2017	P	\$100,001 - \$250,000	
M. Priyasri Bala Vanguard Retirement 2040 ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		12/29/2017	P	\$1,001 - \$15,000	
M. Priyasri Bala Vanguard Retirement 2040 ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		03/27/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Matangi B Bala SEP IRA TD Ameritrade ⇒ Money Market [BA]		11/27/2017	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Money Market [BA]		08/18/2017	P	\$1,001 - \$15,000	
Matangipriyasri Bala IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund [MF]		12/29/2017	P	\$1,001 - \$15,000	
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ American Beacon Sim High Yld Opps Inst [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Angel Oak Multi-Strategy Inc Inst [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Aqr Multi Strgy Alt Cl I [MF]		01/3/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Baird FDS Inc Short Trm Bd I [MF]		01/3/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Emerging Markets Core Equity Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Intl Small Company Portfolio [MF]		01/3/2017	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA Japanese Small Co FD [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Hartford Floating Rate High Inc Fund Class I [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ JPMorgan Mortgage-Backed Securities See [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Lord Abbett Info Focused Bond Fund ! [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Pimco Comm Real Return I [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Sptn Real Es IDX Adv [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable ⇒ Tortoise MLP and Pipe Fund Inst Cl [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/18/2017	P	\$100,001 - \$250,000	
S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		12/29/2017	P	\$1,001 - \$15,000	
S. Raja Krishnamoorthi Roth IRA LC Growth Focused Equity		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
⇒ DFA Intl Small Company Portfolio [MF]					
S. Raja Krishnamoorthi Roth IRA LC Growth Focused Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi Roth IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/13/2017	P	\$1,001 - \$15,000	
S. Raja Krishnamoorthi SEP IRA LC Growth Focused Equity ⇒ DFA Intl Small Co Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
S. Raja Krishnamoorthi SEP IRA LC Growth Focused Equity ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement ⇒ Vanguard Target Ret 2040 Fd Investor Cl [MF]		01/27/2017	P	\$1,001 - \$15,000	
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA Int'l Small Co Portfolio [MF]		01/4/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA Japanese Small Co Fd [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA U.S. Core Equity 1 Portfolio [MF]		01/3/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ DFA U.S. Core Equity I [MF]		01/4/2017	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ Vanguard Target Ret 2040 FD Investor Cl [MF]		01/13/2017	P	\$1,001 - \$15,000	
SRK Solo 401k Vanguard 2040 Retirement Fund ⇒ Vanguard Target Retirement 2040 [MF]		01/17/2017	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Money Market [BA]		04/13/2017	P	\$100,001 - \$250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Money Market [BA]		04/18/2017	S	\$100,001 - \$250,000	<input type="checkbox"/>
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Money Market [BA]		05/11/2017	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Money Market [BA]		08/15/2017	S	\$1,001 - \$15,000	<input type="checkbox"/>
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund [MF]		04/17/2017	P	\$100,001 - \$250,000	
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund [MF]		08/14/2017	P	\$1,001 - \$15,000	
Subramanian R Krishnamoorthi Rollover IRA TD Ameritrade ⇒ Vanguard Target Retirement 2045 Fund [MF]		12/29/2017	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

## 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	\$100,001 - \$250,000
JT	Citizens One	July 2013	Home mortgage	\$250,001 -

Owner	Creditor	Date Incurred	Type	Amount of Liability
				\$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	07/30/2017	08/8/2017	Chicago - New Delhi - Mumbai	4	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
COMMENTS: This was a MECEA trip. Four days of the trip were funded through personal funds. The return air travel on August 8, 2017 was funded by the Government of India.							

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"> <li>ADP 401k plan</li> <li>Illinois' Bright Start 529 Child a LOCATION: IL</li> <li>Illinois' Bright Start 529 child b LOCATION: IL</li> <li>Illinois' Bright Start 529 child c</li> </ul>
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LOCATION: IL

- Lincoln Financial 401k
- M. Priya Bala Rollover IRA LC Growth Focused Equity
- M. Priya Bala Rollover IRA Vanguard 2040 Retirement
- M. Priya Bala Roth IRA LC Cap App Tax
- M. Priya Bala Roth IRA Vanguard 2040 Retirement
- M. Priyasri Bala Baird Mun Bond Fd
- M. Priyasri Bala LC Growth Equity
- M. Priyasri Bala Vanguard Retirement 2040
- Matangi B Bala SEP IRA TD Ameritrade
- Matangipriyasri Bala IRA TD Ameritrade
- Metlife Flexible Premium Multifunded Life Insurance

LOCATION: US

- S. Raja Krishnamoorthi Rollover IRA LC Capital App Taxable
- S. Raja Krishnamoorthi Rollover IRA Vanguard 2040 Retirement
- S. Raja Krishnamoorthi Roth IRA LC Growth Focused Equity
- S. Raja Krishnamoorthi Roth IRA Vanguard 2040 Retirement
- S. Raja Krishnamoorthi SEP IRA LC Growth Focused Equity
- S. Raja Krishnamoorthi SEP IRA Vanguard 2040 Retirement
- SRK Solo 401k Vanguard 2040 Retirement Fund
- Subramanian R Krishnamoorthi Rollover 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

## COMMENTS

## 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 , 08/13/2018