## PRELIMINARY INFORMATION - ANSWER <u>EACH</u> OF THESE QUESTIONS

FILER STATUS

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	S THAT YOU ARE REQUIRED TO COMPLETE	NLY THE SCHEDULE	THIS FORM INCLUDES ONLY THE SCHEDULES THAT YOU ARE
	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	CORRESPONDING S	ATTACH THE O
Yes	J. Did you receive compensation of more than \$5,000 from a single source in the current year and two prior years?	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 X 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 X 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 X 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 X No	A. Did you, your spouse, or your dependent child: <ul> <li>a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or</li> <li>b. Receive more than \$200 in unearmed income from any reportable asset during the reporting period?</li> </ul>

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

**EXEMPTION** – Have you excluded from this report any other assets, "uneamed" 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. 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 Yes ž ₹ × ×

### SCHEDULE A - ASSETS & "UNEARNED INCOME"

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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
Identify (a) each asset held for investment or in production of income and with a fair market value succeeding \$1,000 at the end of the reporting period, is and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" which generated more than \$200 in "unearned" income during the year.	Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please a specify the method used.  If an asset was sold during the reporting period and is included only because it generated income, the value should be 'None.'	Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax-Deferred" column. Dividends, interest, and capital galins, even if reinvested, must be disclosed as income	For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the category of income by checking the appropriate box below. Dividents, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts. Check "None" if no income was earned or generated.  *Column XII is for assets held by your spouse or dependent child in which you have no interest.
Provide complete names of stocks and mutual funds (do not use only ticker symbols).	_	"None" if the asset generated no income during the reporting period.	
For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.			
For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts.	B C C C F F G H		THE PROPERTY OF THE PROPERTY O
For rental and other real property held for investment, provide a complete address or description, e.g., "rental property," and a city and state.		me)	
For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.		ne or Farm (nco	
Exclude: Your personal residence, including second homes and vecation homes (unless there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.		, Partnership Incor	0,
If you have a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.			\$1,000,000
If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.	5,000 50,000 \$100,000 \$250,000 \$1,000,000 \$1,000,000 11-\$5,000,000 11-\$25,000,000	T GAINS ED/BLIND TRUS	5,500 5,000 5,000 5,000 5,000 5100,000 \$1,000,000 11-\$5,000,000 C Income over 5,500 5,000 5,500 5,000
For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.	\$1,000,000 \$5,000,000 \$25,000,0 Over \$50,	TAX-DEF	\$1,000,000 Over \$5,0 Spouse/D None \$1-\$200 \$201-\$1,0 \$1,001-\$2 \$2,501-\$5 \$5,001-\$1 \$15,001-\$ \$100,001-\$2
SP, Mega Corp Stock EIF	×	×	*
Examples:	Indefinite	Royalties	× × × × × × × × × × × × × × × × × × ×
ABC Hedge Fund X	×	Partnership Income	×
AECYLLED ENDEGY DOUBLIMENT	× SEE NOTE 3	X	×
DIVISION STREET CAPITAL	*	×	X SUE VOICE -
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Name: SEAN CASTEN

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															Other Type of Income (Specify: e.g., Partnership Income or Farm Income)			
															None -			
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#### Other Assets Owned by Sean Casten

			Amount of income	f income	
Asset Name	Value of Asset	Type of Income	Current Year	Prior Year	
Held by Sean & Kara Casten					l
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	See Note 2
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 (CFLLC)	\$1,000,001 - \$5,000,000	Income (K-1)	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000	See Note 4
		Interest	\$201 - \$1,000	\$1,001 - \$2,500	See Note 4
		Dividend	\$201 - \$1,000	\$2,501 - \$5,000	See Note 4
		Capital Gains	\$1 - \$200	\$1 - \$200	See Note 4

#### SCHEDULE C - EARNED INCOME

Name: SEAN CASTEN Page 45 잋 B

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For both the filer and filer's spouse, list the source and amount of any honoraria. List only the source for other spouse earned income exceeding \$1,000. See examples below.

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

**EXCLUDE**: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

professional services involving a fiduciary relationship) are totally prohibited for Members and senior staff.

Course (include date of receipt for become)	7	Am	Amount
Source (include date of lecelpt for norioraria)	Туре	Current Year to Filing	Preceding Year
ABC Trade Association, Baltimore, MD (July 15)	Honorarium	\$0	\$500
Examples: Civil War Roundable (Oct. 2) Ontario County Board of Education	Spouse Speech Spouse Salary	\$20,000 \$0 N/A	\$/6,000 \$1,000 N/A
RECYCLEO ENERGY DEVELOPMENT (SEAN)	SALARY	\$ 457, 690	\$364,113
	saurcy	\$94,059	\$ 92,489
PRONCLAD ENERGY PARTNERS (SEAN)	1099 ( (ONSULTING)	\$ 57, 629	
	•	•	

#### SCHEDULE D - LIABILITIES

Name: SEAN CASTEN Page 6 of 8	
Page 6	Name:
Page 6	V 435
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	Page 6 of 8

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 \*Column K is for liabilities held solely by your spouse or dependent child.

					DC, 71		
				Example		- · · · · -	
				First Bank of Wilmington, DE	Creditor		
	,			5/98	Date Liability Incurred MO/YR		
				Mortgage on Rental Property, Dover, DE	Type of Liability		
ı					\$10,001- \$15,000	>	
				_	\$15,001- \$50,000	₩.	
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					\$25,000,001- \$50,000,000		
					Over \$50,000,000	٠	
					Over \$1,000,000* (Spouse/DC Liability)	*	

#### SCHEDULE E - POSITIONS

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 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 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
pasibent of tea	pro PARENT, LLC (AND SUBSIDIARY BYTITIES)
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#### **SCHEDULE F - AGREEMENTS**

	Name:	SEAN	SEAN CASTEN	Page 7 of 6
angement that you have with r	espect to: futi	ure employmen	angement that you have with respect to: future employment; a leave of absence during the period of government service;	of government service;

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	Partio	Parties to Agreement	Terms of Agreement
9/16	NJLSUD NEAS	9/16 SEAN CASTEN / NEW THEOLY	& MONTH CONSULTING ABREEMENT, ENDING MARCH ZUIT

## 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)  Example: Doe Jones & Smith, Hometown, Homestate	Brief Description of Duties  Accounting Services
LECT CLED EVENTY DENE DENI	SALARY & BONVS IN MY CARACITY AS PRESIDENT & CEO
MONCHAD ENERGY PARTNER!	CONSVITING SERVICES DURING 6 MONTH TEANSITION PERIOD
	AFTER THEY PURCHASED RECYCLED ENERGY DEVELOPMENT

Name: SEAN CASTEN Page 6 of 8