



Filing ID #10041677

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Sean Casten
Status: Member
State/District: IL06

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2020
Filing Date: 08/13/2021

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|----------------------|-----------------------------|--------------------|--------------------------|
| Casten Shared Investments ⇒ Cash [BA] | | \$1 - \$1,000 | None | | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA COMMODITY STRATEGY PORT INST [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA EMERGING MKTS SMALL CAP PORT INSTL [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA GLBL REAL ESTATE SEC PORT INST [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA INTL CORE EQTY PORT INSTL [MF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA INTL SMALL CAP VALUE PORT INSTL [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA INTL SMALL CO PORT INSTL [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|--------------------------|--------------------|--------------------------|
| Casten Shared Investments ⇒ DFA US SMALL CAP PORT INSTL [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ DFA US TARGETED VALUE PORT INSTL [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ GOE Capital Partners LLC [OL] LOCATION: Edina, MN, US DESCRIPTION: Waste recycling and green energy company | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Casten Shared Investments ⇒ Greenleaf Power LLC [OL] LOCATION: Sacramento, CA, US DESCRIPTION: Bioenergy company | | None | Interest | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ HARTFORD SCHRODERS US SM CAP OPPTY I [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ IVY INTERNATIONAL CORE EQUITY CL I [MF] | | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ Rebel Industries RCP Fund XII, LP [HE] | | \$50,001 - \$100,000 | Partnership income | \$5,001 - \$15,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ TWEEDY BROWNE GLOBAL VALUE FUND [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF] | | \$250,001 - \$500,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | <input type="checkbox"/> |
| Division Street Capital DSC I Series 6 [RP] LOCATION: Chicago, IL, US DESCRIPTION: Multi-family residential property, Chicago, IL. | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Fidelity 401k ⇒ ABF SM Cap Val INV [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ American Funds EuroPacific Growth R6 [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|-----------------------------|--------------------|-------------------------------------|
| Fidelity 401k ⇒ FID Blue Chip GR [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ FID Real Estate Invs [RE] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ Fidelity 500 Index Fund [MF] | | \$100,001 - \$250,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ Fidelity Mid Cap Index Fund [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ GS International Equity Insights Fund [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ GS Small Cap Growth Insights Fund [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ Invesco Divrs Divd R5 [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ J H Enterprise A [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ Vanguard Tot Int'l Stock AD [MF] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Fidelity 401k ⇒ Wells Fargo Special Mid Cap Value Fund [MF] | | \$50,001 - \$100,000 | Tax-Deferred | | <input type="checkbox"/> |
| Kemper Corporation 401(k) (Wells Fargo) ⇒ Vanguard Target Retirement 2040 [MF] | SP | \$100,001 - \$250,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| Personal loan to campaign [DO] | | \$100,001 - \$250,000 | None | | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ AMERICAN FD GROWTH FD OF AMERICA [MF] | JT | \$100,001 - \$250,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ Cash in brokerage account [BA] | JT | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ INVESCO FTSE RAFI US [EF] | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|-------------------|--------------------------|
| Schwab Acct ...3673 ⇒ SCHWAB FUNDA EMG MKTS [EF] | JT | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ SCHWAB FUNDAMENTAL INL [EF] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ SCHWAB FUNDAMENTAL INTL [MF] | JT | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Schwab Acct ...3673 ⇒ SCHWAB FUNDAMENTAL US [EF] | JT | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Schwab Acct ...373917 ⇒ Cash in checking acct [BA] | JT | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ BJBHX (bond fund) [MF] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ Cash in brokerage account [BA] | | \$50,001 - \$100,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ GLENMEDE SMALL CAP EQTY [MF] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ INVESCO FTSE RAFI US [EF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ SCHWAB FUNDAMENTAL EMER [MF] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ SCHWAB FUNDAMENTAL INTL [MF] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | <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? |
|--|-------|------------|----------|-----------------------|---------------------|
| Kemper Corporation 401(k) (Wells Fargo) ⇒ Vanguard Target Retirement 2040 [MF] | SP | 09/24/2020 | P | \$100,001 - \$250,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|--------------|-------------|-----------------|--------------------------|-------------------------------|
| Schwab Acct ...3673 ⇒ AMERICAN FD GROWTH FD OF AMERICA [MF] | JT | 12/18/2020 | P | \$1,001 - \$15,000 | |
| Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ SCHWAB FUNDAMENTAL INTL [MF] | | 12/18/2020 | P | \$1,001 - \$15,000 | |
| Vanguard 401K ⇒ Vanguard Target Retire 2035 [MF] | SP | 09/10/2020 | S | \$100,001 - \$250,000 | <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 C: EARNED INCOME

| Source | Type | Amount |
|-----------------------------------|---------------|---------------|
| Merastar Insurance Company | spouse salary | N/A |
| Zurich American Insurance Company | spouse salary | N/A |

SCHEDULE D: LIABILITIES

| Owner | Creditor | Date Incurred | Type | Amount of Liability |
|--------------|---------------------------|----------------------|--------------------------------|----------------------------|
| JT | Wells Fargo Home Mortgage | June 2007 | Mortgage on personal residence | \$500,001 - \$1,000,000 |

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

| Source | Trip Details | | | | Inclusions | | |
|-----------------|--------------|------------|--|------------------|-------------------------------------|-------------------------------------|--------------------------|
| | Start Date | End Date | Itinerary | Days at Own Exp. | Lodging? | Food? | Family? |
| Aspen Institute | 02/23/2020 | 02/25/2020 | Chicago, IL - Aspen, CO - Washington, DC | 0 | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Casten Shared Investments
LOCATION: US
DESCRIPTION: Family LLC investment vehicle. Values shown reflect filer's share. Casten Family LLC, identified on prior reports, was subsumed into CSI at the end of 2017.
- Fidelity 401k
DESCRIPTION: Sean Casten 401K
- Kemper Corporation 401(k) (Wells Fargo) (Owner: SP)
- Schwab Acct ...3673 (100% Interest) (Owner: JT)
LOCATION: US
- Schwab Acct ...373917 (100% Interest) (Owner: JT)
LOCATION: US
- Sean Casten 12/28/95 Trust (Schwab Acct ...1477) (100% Interest)
- Vanguard 401K (Owner: SP)

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. Sean Casten , 08/13/2021