



Filing ID #10037057

# 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:** 2019  
**Filing Date:** 08/12/2020

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Casten Family LLC ⇒ Siguler Guff Capital Partners (Linx II), LLC [HE]		None	None		<input type="checkbox"/>
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 checked="" 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 checked="" 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 checked="" type="checkbox"/>
Casten Shared Investments ⇒ DFA INTL CORE EQTY PORT INSTL [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Casten Shared Investments ⇒ DFA INTL SMALL CAP VALUE PORT INSTL [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Casten Shared Investments ⇒ DFA INTL SMALL CO PORT INSTL [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Casten Shared Investments ⇒ DFA US SMALL CAP PORT INSTL [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Casten Shared Investments ⇒ DFA US TARGETED VALUE PORT INSTL [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" 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		\$250,001 - \$500,000	Interest, Distributions	\$15,001 - \$50,000	<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 checked="" type="checkbox"/>
Casten Shared Investments ⇒ IVY INTERNATIONAL CORE EQUITY CL I [MF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" 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 checked="" type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" 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 checked="" 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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity 401k ⇒ American Funds EuroPacific Growth R6 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ FID Blue Chip GR [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 401k ⇒ FID Large Cap Stock [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ FID Mid Cap Value [MF]		None	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 checked="" type="checkbox"/>
Fidelity 401k ⇒ Fidelity Mid Cap Index Fund [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ GS International Equity Insights Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 401k ⇒ GS Small Cap Equity Insights Fund [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ GS Small Cap Growth Insights Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ Invesco Divrs Divd R5 [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 401k ⇒ Invesco Int'l Growth R5 [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ J H Enterprise A [MF]		\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 401k ⇒ Vang Lg Cap Idx ADM [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Fidelity 401k ⇒ Vang MidCap Idx ADM [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
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 checked="" type="checkbox"/>
Fidelity 401k ⇒ WF SM Co Growth ADM [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Personal loan to campaign [DO]		\$100,001 - \$250,000	None		<input type="checkbox"/>
Schwab Acct ...373917 ⇒ Cash in checking acct [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ AMERICAN FD GROWTH FD OF AMERICA [MF]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Schwab Acct 1625-3673 ⇒ Cash in brokerage account [BA]	JT	\$1 - \$1,000	Interest	\$1 - \$200	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ INVESCO FTSE RAFI US [EF]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ SCHWAB FUNDA EMG MKTS [EF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ SCHWAB FUNDAMENTAL INL [EF]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ SCHWAB FUNDAMENTAL INTL [MF]	JT	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ SCHWAB FUNDAMENTAL US [EF]	JT	\$1,001 - \$15,000	Dividends	\$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) ⇒ Division St. Capital DSC LLC 1 Series 3 [RP]		None	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
LOCATION: Chicago, IL, US DESCRIPTION: Multi-family residential property, Chicago, IL					
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]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ SCHWAB FUNDAMENTAL INTL [MF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Vanguard 401K ⇒ Vanguard Target Retire 2035 [MF]	SP	\$50,001 - \$100,000	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?
Casten Shared Investments ⇒ DFA COMMODITY STRATEGY PORT INST [MF]		01/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Casten Shared Investments ⇒ DFA COMMODITY STRATEGY PORT INST [MF]		09/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Casten Shared Investments ⇒ DFA EMERGING MKTS SMALL CAP PORT INSTL [MF]		02/5/2019	P	\$50,001 - \$100,000	
Casten Shared Investments ⇒ DFA EMERGING MKTS SMALL CAP PORT INSTL [MF]		12/17/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ DFA GLBL REAL ESTATE SEC PORT INST [MF]		01/18/2019	P	\$15,001 - \$50,000	
Casten Shared Investments ⇒ DFA GLBL REAL ESTATE SEC PORT INST [MF]		12/17/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒		01/18/2019	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
DFA INTL CORE EQTY PORT INSTL [MF]					
Casten Shared Investments ⇒ DFA INTL SMALL CAP VALUE PORT INSTL [MF]		01/18/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ DFA INTL SMALL CO PORT INSTL [MF]		01/18/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ DFA US SMALL CAP PORT INSTL [MF]		02/5/2019	P	\$50,001 - \$100,000	
Casten Shared Investments ⇒ DFA US SMALL CAP PORT INSTL [MF]		12/16/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ DFA US TARGETED VALUE PORT INSTL [MF]		01/18/2019	P	\$15,001 - \$50,000	
Casten Shared Investments ⇒ DFA US TARGETED VALUE PORT INSTL [MF]		12/17/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ GOE Capital Partners LLC [OL]		03/19/2019	P	\$1,001 - \$15,000	
LOCATION: Edina, MN, US DESCRIPTION: Waste recycling and green energy company					
Casten Shared Investments ⇒ GOE Capital Partners LLC [OL]		06/20/2019	P	\$1,001 - \$15,000	
LOCATION: Edina, MN, US DESCRIPTION: Waste recycling and green energy company					
Casten Shared Investments ⇒ HARTFORD SCHRODERS US SM CAP OPPTY I [MF]		02/5/2019	P	\$50,001 - \$100,000	
Casten Shared Investments ⇒ HARTFORD SCHRODERS US SM CAP OPPTY I [MF]		12/10/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ IVY INTERNATIONAL CORE EQUITY CL I [MF]		02/12/2019	P	\$15,001 - \$50,000	
Casten Shared Investments ⇒ IVY INTERNATIONAL CORE EQUITY CL I [MF]		12/12/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ TWEEDY BROWNE GLOBAL VALUE FUND [MF]		01/18/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF]		01/18/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF]		01/22/2019	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF]		02/5/2019	P	\$50,001 - \$100,000	
Casten Shared Investments ⇒ VANGUARD SHORT TERM INVESTMENT GRADE FUND ADMIRAL [MF]		04/2/2019	P	\$15,001 - \$50,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		01/18/2019	P	\$50,001 - \$100,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		01/22/2019	P	\$100,001 - \$250,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		02/5/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		02/8/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		02/12/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		03/22/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		06/14/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL		07/29/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SHARE [MF]					
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		09/13/2019	P	\$1,001 - \$15,000	
Casten Shared Investments ⇒ VANGUARD TOTAL STOCK MKT INDEX FD ADMIRAL SHARE [MF]		12/23/2019	P	\$1,001 - \$15,000	
Fidelity 401k ⇒ American Funds EuroPacific Growth R6 [MF]		05/1/2019	P	\$15,001 - \$50,000	
Fidelity 401k ⇒ FID Large Cap Stock [MF]		05/1/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Fidelity 401k ⇒ FID Mid Cap Value [MF]		10/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Fidelity 401k ⇒ Fidelity 500 Index Fund [MF]		05/1/2019	P	\$100,001 - \$250,000	
Fidelity 401k ⇒ Fidelity Mid Cap Index Fund [MF]		05/1/2019	P	\$15,001 - \$50,000	
Fidelity 401k ⇒ GS Small Cap Equity Insights Fund [MF]		05/1/2019	P	\$1,001 - \$15,000	
Fidelity 401k ⇒ GS Small Cap Equity Insights Fund [MF]		10/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Fidelity 401k ⇒ GS Small Cap Growth Insights Fund [MF]		10/1/2019	P	\$1,001 - \$15,000	
Fidelity 401k ⇒ Invesco Int'l Growth R5 [MF]		05/1/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity 401k ⇒ Vang Lg Cap Idx ADM [MF]		05/1/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Fidelity 401k ⇒ Vang MidCap Idx ADM [MF]		05/1/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Fidelity 401k ⇒		10/1/2019	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wells Fargo Special Mid Cap Value Fund [MF]					
Fidelity 401k ⇒ WF SM Co Growth ADM [MF]		05/1/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab Acct 1625-3673 ⇒ AMERICAN FD GROWTH FD OF AMERICA [MF]	JT	12/20/2019	P	\$1,001 - \$15,000	
Sean Casten 12/28/95 Trust (Schwab Acct ...1477) ⇒ SCHWAB FUNDAMENTAL EMER [MF]		12/20/2019	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
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

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
American Israeli Education Foundation	08/4/2019	08/12/2019	Chicago, IL - Jerusalem, Israel - Tiberias, Israel - Tel Aviv, Israel - Chicago, IL	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Casten Family LLC  
DESCRIPTION: Family trust vehicle
- 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
- Schwab Acct ...373917 (100% Interest) (Owner: JT)  
LOCATION: US
- Schwab Acct 1625-3673 (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 , 08/12/2020