



# FINANCIAL DISCLOSURE REPORT

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

## 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

Trip Details					Inclusions		
Source	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

- o 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.
- o Fidelity 401k  
DESCRIPTION: Sean Casten 401K
- o Kemper Corporation 401(k) (Wells Fargo) (Owner: SP)
- o Schwab Acct ...3673 (100% Interest) (Owner: JT)  
LOCATION: US
- o Schwab Acct ...373917 (100% Interest) (Owner: JT)  
LOCATION: US
- o Sean Casten 12/28/95 Trust (Schwab Acct ...1477) (100% Interest)
- o 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