

# UNITED STATES HOUSE OF REPRESENTATIVES 2014 FINANCIAL DISCLOSURE STATEMENT

Form A  
For Use by Members, Officers, and Employees

Name: Steven Brett Guthrie Daytime Telephone: 202 225 3501

(Office Use Only)

FILER STATUS	<input checked="" type="checkbox"/> Member of or Candidate for U.S. House of Representatives	State: <u>KY</u> District: <u>2</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____
REPORT TYPE	<input checked="" type="checkbox"/> 2014 Annual (Due: May 15, 2015)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Date of Termination: _____

## PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS

A. Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? <u>or</u> b. Make more than \$200 in unearned income from any reportable asset during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	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 <input checked="" type="checkbox"/> No <input type="checkbox"/>
B. Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding \$1,000 during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$375 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>	H. Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than \$375 in value from a single source during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>	I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"	

## IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

IPO - Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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 your dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
EXEMPTION - Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

HAND  
DELIVERED  
Page 1 of 2

2015 MAY 15 PM 3:22

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES

\* Listed on page 2

(1)

Name: Steven Brett Anthony Page 2 of 21

**Use additional sheets if more space is required.**

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income												BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	T	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E	
	None																																			
	\$1-\$1,000																																			
	\$1,001-\$15,000																																			
	\$15,001-\$50,000																																			
	\$50,001-\$100,000																																			
	\$100,001-\$250,000																																			
	\$250,001-\$500,000																																			
	\$500,001-\$1,000,000																																			
	\$1,000,001-\$5,000,000																																			
	\$5,000,001-\$25,000,000																																			
	\$25,000,001-\$50,000,000																																			
	Over \$50,000,000																																			
	Spouse/DC Asset over \$1,000,000*																																			
	401k Retirement Plan																																			
	Hortford Life																																			
	Simsbury, CT																																			
	American Growth																																			
	Fund, Indianapolis																																			
	INV																																			
	401k Retirement Plan																																			
	Hortford Life																																			
	Franklin Growth																																			
	US Bank Account																																			
	500 State St																																			
	Bowling Green, KY																																			
	Checking																																			
	Savings																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie Page 4 of 21

BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction			
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	P, S, S(part), or E		
	Deferred Compensation Plan																																					
	MetLife																																					
	Lexington KY																																					
	Trace Die Cost																																					
	Mutual Fund																																					
	Wells Fargo																																					
	Rollins (RGLY)																																					
	AF American																																					
	AF AmCAP Fund																																					
	CLASS A																																					
	Indianapolis, IN																																					

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: **Steven Brett Guthrie**

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction			
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	1	2	3	4	5	6	7	8	9	10	11	12	P, S, Slightly, or E	
	ST Mutual Fund			X													X								X											P
	Wells Fargo																																			
	First Eagle																																			
	Global Income																																			
	F D C L A																																			
	SP Insurance Policy																X								X											,
	New England Financial																																			
	7000 Capital Inc																																			
	Warwick, AS																																			
	(Whole life)																																			
	DC Insurance Policy																								X											P
	Reinsurance American																																			
	Life																																			
	Whole Life Synthet																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: **Steven Brett Guthrie**

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction	
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	1	2	3	4	5	6	7	8	9	10	11	12	P, S, S/P, or E	
		None	\$1-\$1,000	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									None	\$1-\$200	\$201-\$1,000	\$1,001-\$2,500	\$2,501-\$5,000	\$5,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$1,000,000	\$1,000,001-\$5,000,000	Over \$5,000,000	Spouse/DC Asset with Income over \$1,000,000*		
	DC Cohen Steers Dividend Value Port C NEW YORK, NY 529(b) C Plan (ALL stocks listed for Dependent children Are 529(b) C and are the Some Funds)																																			P, SP
	DC TRove Balanced C, Baltimore, MD																																			P, SP

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie Page 2 of 21

BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction				
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	NONE	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, Sd, or E			
	DC1 Northern Equity Index																																						P, Sd
	SDA Portfolio C																																						P, Sd
	CHICAGO JSC																																						
	DC1 Northern																																						P, Sd
	MidCap Index																																						P, Sd
	SDA Portfolio C																																						
	DC1 Northern																																						P, Sd
	Small Company Index																																						P, Sd
	SDA Portfolio C																																						

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie Page 8 of 21

BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction				
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	None	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, B, JT, or E			
	DC1 Northern International Equity, S29 Portfolio C																																						P, S, P
	DC1 Newberger Berman Fnt'l Select S29 Portfolio C																																					P, S, P	
	DC2 T Rowe Price																																					P, S, P	
	DC2 Cohort Steers																																					P, S, P	



# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie Page 9 of 21

BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	NONE	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E	
	None																																				
	\$1-\$1,000																																				
	\$1,001-\$15,000																																				
	\$15,001-\$50,000																																				
	\$50,001-\$100,000																																				
	\$100,001-\$250,000																																				
	\$250,001-\$500,000																																				
	\$500,001-\$1,000,000																																				
	\$1,000,001-\$5,000,000																																				
	\$5,000,001-\$25,000,000																																				
	\$25,000,001-\$50,000,000																																				
	Over \$50,000,000																																				
	Spouse/DC Asset over \$1,000,000*																																				
	DC2 Northern Equity Index																																				P, Sp
	DC2 Northern Aidcap Index																																				P, Sp
	DC2 Northern Small Company																																				P, Sp
	DC2 Newberger Bevmom																																				P, Sp
	DC2 Northern International Equity																																				P, Sp

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction		
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	1	2	3	4	5	6	7	8	9	10	11	12	13	P, S, Slightly, or E	
		None	\$1-\$1,000	\$1,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	Spouse/DC Asset over \$1,000,000*									None	\$1-\$200	\$201-\$1,000	\$1,001-\$2,500	\$2,501-\$5,000	\$5,001-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$1,000,000	\$1,000,001-\$5,000,000	Over \$5,000,000	Spouse/DC Asset with Income over \$1,000,000*			
	DC3 T Rowe Price			X											X				X						X												P
	DC3 Cohen & Steers			X											X				X						X												P
	DC3 Northern Equity Index			X											X				X						X												P
	DC3 Northern Mid Cap			X											X				X						X												P
	DC3 Northern Small Company		X												X				X						X												P

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**Use additional sheets if more space is required.**

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

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BLOCK A Asset and/or Income Source		BLOCK B Value of Asset													BLOCK C Type of Income							BLOCK D Amount of Income													BLOCK E Transaction				
SP, DC, JT	ASSET NAME	A	B	C	D	E	F	G	H	I	J	K	L	M	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	NONE	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E			
	Kentucky Employers Retirement System																																						
	Trace Drc East inc (3)									X																													
	Carolyn Guthrie Irrevocable Trust (1 of 4 Beneficiaries)																																						

# SCHEDULE B - TRANSACTIONS

Name: STEVEN BETH GUTHRIE Page 13 of 21

Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent child, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gain" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

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

SP, DC, JT	SP	Example	Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MO/DA/YR) or Quantity, Monthly, or Bi-weekly, if applicable	Amount of Transaction													
				Purchase	Sale	Partial Sale	Exchange			A	B	C	D	E	F	G	H	I	J	K			
		Example	Major Corp. Stock			X		X	3/21/14		X												
ST		Mutual Fund																					
		AF AmCap				X			6/4/14	X													
ST		Mutual Fund																					
		First Eagle Global		X					monthly	X													
DCI		Cohen + Steers		X					monthly	X													
DCI		T Rowe Price		X					monthly	X													
DCI		Northern Equity		X					monthly	X													
DCI		Northern MidCap		X					monthly	X													
DCI		Northern Small Cap		X					monthly	X													
DCI		Northern International		X					"	X													
DCI		Newberg + Bryman		X					"	X													

# SCHEDULE B - TRANSACTIONS

Name: Steven Barth Guthrie

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Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Exclude transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent child, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gain" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

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

SP, DC, JT	Asset	Type of Transaction				Check Box if Capital Gain Exceeded \$200	Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	Amount of Transaction										
		Purchase	Sale	Partial Sale	Exchange			A \$1,001-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000	K Over \$1,000,000* (Spouse/DC Asset)
DC2	Cohen + Steers	X				X	Monthly	X	X									
DC2	T Rowe Price	X							X									
DC2	Northern Equity	X					"		X									
DC2	Northern mid cap	X					"		X									
DC2	Northern Small cap	X					"		X									
DC2	Northern International	X					"		X									
DC2	Newberger Barmore	X					"		X									

# SCHEDULE B - TRANSACTIONS

Name: Steven Beth Gauthier Page 15 of 21

Report any purchase, sale, or exchange transactions that exceeded \$1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

Capital Gains: If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gain" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

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

SP, DC, JT	Asset	Type of Transaction			Check Box if Capital Gain Exceeded \$200	Date MO/DA/YR or Quarterly or Monthly, if applicable	Amount of Transaction											
		Purchase	Partial Sale	Exchange			A \$1,001- \$5,000	B \$5,001- \$15,000	C \$15,001- \$50,000	D \$50,001- \$100,000	E \$100,001- \$250,000	F \$250,001- \$500,000	G \$500,001- \$1,000,000	H \$1,000,001- \$5,000,000	I \$5,000,001- \$25,000,000	J \$25,000,001- \$50,000,000	K Over \$50,000,000	
DC3	Cohen + Steers	X			X	month	X											
DC3	T Rowe Price	X				"	X											
DC3	Northern Equity	X				"	X											
DC3	Northern mid cap	X				"	X											
DC3	Northern Small cap	X				"	X											
DC3	Northern International	X				"	X											
DC3	Newberger Berman	X				"	X											
	Trace Die Cost, inc	X				2/6/15										X		





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Position	Name of Organization
Advisory Board Member	Potter Children's Home BGRY
Advisory Board Member	Center for Gifted Studies at Western KY Univ (wkyu)
Advisory Board Member	W KY BGRY
Member of the Board	Trace Dye Casting 140 N Graham Ave BGRY
	(uncompensated)

# SCHEDULE F - AGREEMENTS

Name: Steven Brett Guthrie Page 18 of 21

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	Parties to Agreement	Terms of Agreement
11/3/09	Brett Guthrie Trace Die Cost	Leave of absence for government service
1/3/19	Trace Die Cost	Reported 401K, noncontributing by self & Trace
1/3/19	Trace Die Cost	Deferred Comp. Reported, noncontributing by Trace while on leave
1/09	KY employers Retirement System	agreement between self and KERBS (Defined Benefit plan)
	KERBS	no cash value or assets individually owned by me

# SCHEDULE G - GIFTS

Report the source (by name), a brief description, and the value of all gifts totaling more than \$375 received by you, your spouse, or your dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality from an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$150 or less need not be added towards the \$375 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph Smith, Arlington, VA	Silver Platter (determination of personal friendship received from the Ethics Committee)	\$400
N/A		

Name: Strum Brett Lundhok Page 19 of 21

**EXCLUDE:** Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

[illegible]

Name: Steven Brett Anthony Page 20 of 21

[illegible]

**FILER NOTES**  
(Optional)

Name: Stacyn Brett Guthrie Page 21 of 21

NOTE NUMBER	NOTES
①	Guthrie Family Irrevocable Trust of 1994 is blind trust. I have no control over its assets
②	"The Lowell M. Guthrie Irrevocable Trust" holds 5291.005291 shares of non-voting stock in Trace De Cost, inc B6KY I am a beneficiary of the Lowell M. Guthrie Irrevocable Trust (1 of 4)
③	A 2015 Investment was reported in 2015 on the "Periodic Transaction Report" The "Brett Guthrie Gift Trust" purchased 5,080 shares of non-voting stock in Trace De Cost, inc B6KY I am the beneficiary of The "Brett Guthrie Gift Trust" Partial Sales for 5291(c)3 funds for DC1 and DC2 were less than \$1,000 per fund and nonreportable
④	