HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES 2013 FINANCIAL DISCLOSURE STATEMENT	Form A For Use by Members, Officers, and Employees

LEGISLATIVE RESOURCE CENTER
2014 MAY 15 PM 1:00
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

Name: Steven Brett Guthrie **Daytime Telephone:** 202 225 3501

FILER STATUS	[X] Member of or Candidate for U.S. House of Representatives — State: KY District: 02	[ ] Officer or Employee	Employing Office:
REPORT TYPE	[X] 2013 Annual (Due: May 15, 2014)	[ ] Amendment	[ ] Termination Date:

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? **or** b. Make more than $200 in unearned income from any reportable asset 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 [ ]
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 [X] No [ ]	**G.** Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than $350 in value from a single source during the reporting period?	Yes [ ] No [X]
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 [ ]	**H.** Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than $350 in value from a single source during the reporting period?	Yes [ ] No [X]
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 [ ]	**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 [ ] No [X]
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 [ ]	**ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"**	

IPO, 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 [ ] No [X]
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 [X] 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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes [ ] No [X]

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income and with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than $200 in "unearned" income during the year.

Provide complete names of stocks and mutual funds (do not use only ticker symbols).

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.

For rental and other real property held for investment, provide a complete address or description, *e.g.*, "rental property," and a city and state.

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.

Exclude: Your personal residence, including second homes and vacation 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.

If you have a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.

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.

For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.

BLOCK B — Value of Asset

Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please 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."

*Column M is for assets held by your spouse or dependent child in which you have no interest.

BLOCK C — Type of Income

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 gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if the asset generated no income during the reporting period.

BLOCK D — Amount of 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. **Dividends, 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.

BLOCK E — Transaction

Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding $1,000 in the reporting period.

If only a portion of an asset was sold, please indicate as follows: (S (part)).

Leave this column blank if there are no transactions that exceeded $1,000.

SP, DC, JT	Asset	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
Examples: SP	Mega Corp. Stock						X										X										X									S(part)
Examples:	Simon & Schuster				Indefinite																		Royalties													
Examples:	ABC Hedge Fund	X							X														Partnership Income													
JT	1994 Guthrie Family Irrevocable Trust, Carolyn + Greg Guthrie Trustees, 1 of 4 children who share ①							X								X								X												

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

SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*
	401K Retirement Plan							X							
	Hartford Life														
	Simsbury, CT														
	American Growth Fund														
	Indianapolis, IN														
	401 K Retirement Plan						X								
	Hartford Life														
	Simsbury, CT														
	Franklin Growth														
JT	US Bank Accounts					X									
	Bowling Green, KY														
	Checking/Savings														

BLOCK C – Type of Income

ASSET NAME	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)
401K Retirement Plan		X						
Hartford Life								
Simsbury, CT								
American Growth Fund								
Indianapolis, IN								
401 K Retirement Plan		X						
Hartford Life								
Simsbury, CT								
Franklin Growth								
US Bank Accounts				X				
Bowling Green, KY								
Checking/Savings								

BLOCK D – Amount of Income; BLOCK E – Transaction

ASSET NAME	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
401K Retirement Plan				X									
Hartford Life													
Simsbury, CT													
American Growth Fund													
Indianapolis, IN													
401 K Retirement Plan			X										
Hartford Life													
Simsbury, CT													
Franklin Growth													
US Bank Accounts		X											
Bowling Green, KY													
Checking/Savings													

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	BLOCK A Asset and/or Income Source: ASSET NAME	EIF	BLOCK B Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C Type of Income: NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D Amount of Income: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E Transaction: P, S, S(part), or E
	Deferred Compensation Plan Met Life Lexington, KY (Trace Dir Cust)						X									X								X												
JT	Mutual Fund Wells Fargo Bowling Green, KY AF AMCAP Fund Class A Indianapolis, IN · Ceased monthly purchase on June 3, 2013					X											X								X											P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	ASSET NAME (BLOCK A: Asset and/or Income Source)	EIF	BLOCK B: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C: NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E: Transaction P, S, S(part), or E
	Mutual Fund Wells Fargo Bowling Green, KY First Eagle Sogen Global ·Purchase $200/monthly as of June 3, 2013				X												X								X											P
SP	Insurance Policy New England Financial 700 Quaker Lane Warwick, RI				X											X								X												
DC	Insurance Policy Reassurance American Life Insurance Company Whole Life Interest			X															X						X											P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	BLOCK A Asset and/or Income Source — ASSET NAME	EIF	BLOCK B Value of Asset — A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C Type of Income — NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D Amount of Income — I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E Transaction — P, S, S(part), or E
DC	Cohen+Steers Dividend Value Part C New York, NY				X											X								X												P
DC	529(3)C College Plan T Row Balanced C Baltimore, MD					X										X								X												P
DC	529(3) C College Plan Northern Equity Index 529 Portfolio C Chicago, IL				X											X								X												P
DC	529(3) C College Plan Northern Mid-Cap Index 529 Portfolio C Chicago, IL				X											X								X												P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	BLOCK A Asset and/or Income Source: ASSET NAME	EIF	BLOCK B Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction: P, S, S(part), or E
DC1	529(3) C College Plan Northern Small Company Index 529, Portfolio C		B: $1-$1,000	NONE	I: None	P
DC1	529(3) C College Plan Northern International Equity Index 529, Portfolio C		C: $1,001-$15,000	NONE	I: None	P
DC1	529(3) C College Plan Neuberger Berman Int'l Large Cap 529, Portfolio C New York, NY		C: $1,001-$15,000	NONE	I: None	P
DC2	529(3) C College Plan T Rowe Price Balanced C Baltimore, MD		C: $1,001-$15,000	NONE	I: None	P, S(part)

Block B columns: A None; B $1-$1,000; C $1,001-$15,000; D $15,001-$50,000; E $50,001-$100,000; F $100,001-$250,000; G $250,001-$500,000; H $500,001-$1,000,000; I $1,000,001-$5,000,000; J $5,000,001-$25,000,000; K $25,000,001-$50,000,000; L Over $50,000,000; M Spouse/DC Asset over $1,000,000*

Block C columns: NONE; DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED/BLIND TRUST; TAX-DEFERRED; Other Type of Income (Specify: e.g., Partnership Income or Farm Income)

Block D columns: I None; II $1-$200; III $201-$1,000; IV $1,001-$2,500; V $2,501-$5,000; VI $5,001-$15,000; VII $15,001-$50,000; VIII $50,001-$100,000; IX $100,001-$1,000,000; X $1,000,001-$5,000,000; XI Over $5,000,000; XII Spouse/DC Asset with Income over $1,000,000*

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie | Page 8 of 20

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	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
DC2	Cohen & Steers Dividend Value New York, NY				X											X								X												P, S(part)
DC2	529(3) C College Plan Northern Equity Index 529 Portfolio C				X											X								X												P
DC2	529(3) C College Plan 2 Northern Mid Cap Index 529 Portfolio C Chicago, IL			X												X								X												P
DC2	529(3) C College Plan 3 Northern Small Company Index 529, Portfolio C			X												X								X												P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	BLOCK A Asset and/or Income Source — ASSET NAME	EIF	BLOCK B Value of Asset — A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C Type of Income — NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D Amount of Income — I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E Transaction P, S, S(part), or E
DC2	529(3) C College Plan Northern International Equity Index 529 Portfolio C				X											X								X												P
DC2	529(3) C College Plan Nuberger International Large Cap 529, Portfolio C New York, NY				X											X								X												P
DC3	529 (3) College Plan T Rowe Price Balanced C Baltimore, MD				X											X								X												P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

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	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
DC3	Cohen & Steers Dividend Value New York, NY				X											X								X												P
DC3	529(3) C College Plan Northern Equity Index 529 Portfolio C				X											X								X												P
DC3	529(3) C College Plan ③ Northern Mid-Cap Index 529 Portfolio C Chicago, IL			X												X								X												P
DC3	529(3) C College Plan ③ Northern Small Company Index 529, Portfolio C			X												X								X												P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

SP, DC, JT	BLOCK A Asset and/or Income Source: ASSET NAME	EIF	BLOCK B Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C Type of Income: NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D Amount of Income: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E Transaction: P, S, S(part), or E
DC3	529(3) C College Plan Northern International Equity Index 529 Portfolio C				X											X								X												P
DC3	529(3) College Plan Neuberger Berman Int'l Large Cap 529, Portfolio C New York, NY				X											X								X												P
	Lowell Guthrie ② Irrevocable Trust Bowling Green, KY									X						X								X												

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

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			BLOCK B Value of Asset													BLOCK C Type of Income								BLOCK D Amount of Income												BLOCK E Transaction
SP, DC, JT	BLOCK A Asset and/or Income Source: ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
	Kentucky Employees Retirement System		undetermined													X								X												

Use additional sheets if more space is required.

SCHEDULE B – TRANSACTIONS

Name: Steven Brett Guthrie

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 gains" 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	Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded $200	Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	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)
SP	*Example* Mega Corp. Stock			X		X	3/5/13		X									
JT	Mutual Fund, Wells Fargo Bowling Green, KY AF AMCAP	X					monthly until 6/3/13	X										
	Wells Fargo First Eagle Sogen Global	X					monthly since 6/3/13	X										
DC1	Cohen + Steers Dividend Value, Part C	X					monthly	X										
DC1	529(3)C College Plan Northern Equity	X					monthly	X										
DC1	529(3)C College Plan T Rowe Price Balanced C	X					monthly	X										

Use additional sheets if more space is required.

SCHEDULE B – TRANSACTIONS

Name: Steven Brett Guthrie | Page 14 of 20

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 gains" 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: Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded $200	Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	Amount of Transaction: 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)
SP	Example Mega Corp. Stock			X		X	3/5/13		X									
DC1	529(3) College Plan Northern MidCap Index	X					monthly	X										
DC1	529(3) C College Plan Northern International Equity	X					monthly	X										
DC1	529(3) C College Plan Neuberger Berman International	X					monthly	X										
DC2	529(3) C College Plan	X					monthly	X										
	T Rowe Price Balanced C			X			8/15/13	X										
DC2	Cohen + Steers	X					monthly	X										
	Dividend Value			X			8/15/13	X										
DC2	529(3) C College Plan Northern International	X					monthly	X										

Use additional sheets if more space is required.

SCHEDULE B – TRANSACTIONS

Name: Steven Brett Guthrie

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 gains" 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: Purchase	Sale	Partial Sale	Exchange	Check Box if Capital Gain Exceeded $200	Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable	Amount of Transaction: 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)
SP	*Example* Mega Corp. Stock			X		X	3/5/13		X									
DC2	529(3) C College Plan Northern Equity Index	X					monthly	X										
DC2	529(3) C College Plan Neuberger Berman	X					monthly	X										
DC3	529(3) C College Plan T Rowe Price Balanced C	X					monthly	X										
DC3	Cohen + Steers Dividend Value, New York, NY	X					monthly	X										
DC3	529(3) C College Plan Northern Equity	X					monthly	X										
DC3	529(3) College Plan Neuberger Berman Int'l	X					monthly	X										

Use additional sheets if more space is required.

SCHEDULE C – EARNED INCOME

Name: Steven Brett Guthrie

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 a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. See examples below.

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

INCOME LIMITS and PROHIBITED INCOME: The 2013 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was $26,955. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) were totally prohibited.

	Source (include date of receipt for honoraria)	**Type**	**Amount**
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$18,000
	Civil War Roundtable (Oct. 2)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	N/A
	US Congress	Salary	$174,000
	Candlemakers on the Square	Spouse Salary	$2,468

Use additional sheets if more space is required.

SCHEDULE D – LIABILITIES

Name: Steven Brett Guthrie | Page 17 of 20

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. 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 reporting period exceeded $10,000. *Column K is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred MO/YR	Type of Liability	A $10,001-$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 Liability)
Example	First Bank of Wilmington, DE	5/98	Mortgage on Rental Property, Dover, DE				X							
JT	JPMorgan Chase of Columbus	11/2011	mortgage on personal residence, Bowling Green, KY				X							

SCHEDULE E – POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year 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 listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

Position	Name of Organization
Advisory Board Member	Potter Children's Home, Bowling Green, KY
Advisory Board Member	Center for Gifted Studies at Western Kentucky University, Bowling Green, KY
Advisory Board Member	Western Kentucky University, Bowling Green, KY

Use additional sheets if more space is required.

SCHEDULE F – AGREEMENTS

Name: Steven Brett Guthrie | Page 18 of 20

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
1/03/09	Brett Guthrie + Trace Die Cast, Inc.	leave of absence due to government service
1/03/09	Trace Die Cast, Inc.	401K plan reported, maintained at Trace; non-contributing by myself or Trace
1/03/09	Trace Die Cast, Inc.	deferred compensation, maintained by Trace; non-contributing during leave
1/09	Kentucky Employees Retirement System	agreement between myself + KY State legislature; 10 years of
		vestment in KY Employees Retirement System (a defined benefit plan –
		no cash value or assets individually owned by me)

SCHEDULE G – GIFTS

Report the source (including name, city, and state), a brief description, and the value of all gifts totaling more than $350 received by you, your spouse, or a 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 $140 or less need not be added towards the $350 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			

Use additional sheets if more space is required.

SCHEDULE H – TRAVEL PAYMENTS and REIMBURSEMENTS

Name: Steven Brett Guthrie

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $350 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

EXCLUDE: Privately-sponsored travel approved by the Ethics Committee, if post-travel disclosure was filed with the Clerk; 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.

Source		Date(s)	City of Departure – Destination — City of Return	Lodging? (Y/N)	Food? (Y/N)	Family Member Included? (Y/N)
Examples:	Government of China (MECEA)	Aug. 6-11	DC-Beijing, China - DC	Y	Y	N
	Habitat for Humanity (charity fundraiser)	Mar. 3-4	DC-Boston-DC	Y	Y	Y
N/A						

Use additional sheets if more space is required.

SCHEDULE I – PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name: Steven Brett Guthrie

List the source, activity (*i.e.*, speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.

Source		Activity	Date	Amount
Examples:	Association of American Associations, Washington, DC	Speech	Feb, 2, 2013	$2,000
	XYZ Magazine	Article	Aug. 13, 2013	$500
N/A				

Use additional sheets if more space is required.

Filer notes for Cong. Steven Brett Guthrie's 2013 Financial Disclosure Statement

1) The Guthrie Family Irrevocable Trust reported in previous reports is the "The Guthrie Family Irrevocable Trust of 1994." This designation is to distinguish it from the December 28, 2012 Trust. Also, this trust is blind. I have no control of its assets.

2) The "Lowell M. Guthrie Irrevocable Trust" purchased 5291.005291 shares of non-voting stock in Trace Die Cast, Inc. I am a beneficiary of the Lowell M. Guthrie Irrevocable Trust.

3) There are four assets on Schedule A that do not show up on Schedule B as the purchases were not over $1,000. Those assets are:

*DC2 529 (3) C College Plan, Northern Mid Cap Index, 529 Portfolio C, Chicago, IL
*DC2 529 (3) C College Plan Northern Small Company, Index 529 Portfolio C
*DC3 529 (3) C College Plan, Northern Mid Cap Index, 529 Portfolio C, Chicago, IL
*DC3 529 (3) C College Plan, Northern Small Company, Index 529 Portfolio C