

**HAND  
DELIVERED** Page 1 of 19

**UNITED STATES HOUSE OF REPRESENTATIVES  
2017 FINANCIAL DISCLOSURE STATEMENT**

**Form A**  
For Use by Members, Officers, and Employees

LEGISLATIVE RESOURCE CENTER

18 MAY 15 PM 6:51  
(Office Use Only)

Mc

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

OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
A \$200 penalty shall be assessed against any individual who files more than 30 days late.

FILER STATUS	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>KY</u> District: <u>2</u>	<input type="checkbox"/> Officer or Employee	Employing Office: _____	Staff Filer Type: (If Applicable) Shared <input type="checkbox"/> Principal Assistant <input type="checkbox"/>
REPORT TYPE	<input checked="" type="checkbox"/> 2017 Annual (Due: May 15, 2018)	<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. Receive 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 \$390 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 \$390 in value from a single source during the reporting period?	Yes <input checked="" type="checkbox"/> No <input 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"/>	<b>ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"</b>	

**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 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"/>

Name: Steven Roth Guthrie Page 2 of 19

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

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Sturm B.H. Guldner

Page 3 of 19

BLOCK A Assets and/or Income Sources		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)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E		
	401k Retirement Plan Hartford Life Simsbury, CT Franklin Growth Fund A						X																														
	JT HS Bank Account 500 State St																																				
	Bowling Green, KY 42101																																				
	Checking Savings																																				
	Deferred Compensation Plan, trace																																				
	Die, cast																																				
	Met Life, Lexington, KY																																				

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Britt Guthrie

Page 4 of 19

BLOCK A Assets and/or Income Sources		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)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E		
	ST Mutual Fund			X												X			X																		
	Wells Fargo																																				
	B-GKY																																				
	American Funds																																				
	AMCAP A, Indg																																				
	ST Mutual Fund															X			X																		
	Wells Fargo																																				
	FIRST Eagle																																				
	SOSen Capital																																				
	Income A																																				
	SP Whole Life Insurance																																				
	New England Financial																																				
	200 Quaker Ln																																				
	Maryville, RI																																				

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name:

Page 5 of 19

BLOCK A Assets and/or Income Sources		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	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)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E			
	Insurance Policy																																						
	Reassurance American Life																																						
	Whole Life																																						

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: STERN BETH GUTHRIE

Page 6 of 19

BLOCK A Assets and/or Income Sources		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)	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*																																		
	NONE																																		
	DIVIDENDS																																		
	RENT																																		
	INTEREST																																		
	CAPITAL GAINS																																		
	EXCEPTED/BLIND TRUST																																		
	TAX-DEFERRED																																		
	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)																																		
	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*																																		
SP, DC, JT	ASSET NAME																																		
	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																																		
	DIVIDENDS																																		
	RENT																																		
	INTEREST																																		
	CAPITAL GAINS																																		
	EXCEPTED/BLIND TRUST																																		
	TAX-DEFERRED																																		
	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)																																		
	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*																																		
	NONE																																		
	DIVIDENDS																																		
	RENT																																		
	INTEREST		</																																

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

Page 7 of 19

BLOCK A Assets and/or Income Sources		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)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, Spouse, 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																																		
	DIVIDENDS																																		
	RENT																																		
	INTEREST																																		
	CAPITAL GAINS																																		
	EXCEPTED/BLIND TRUST																																		
	TAX-DEFERRED																																		
	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)																																		
	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*																																		
SP	ASSET NAME																																		
DC																																			
JT																																			
	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																																		
	DIVIDENDS																																		
	RENT																																		
	INTEREST																																		
	CAPITAL GAINS																																		
	EXCEPTED/BLIND TRUST																																		
	TAX-DEFERRED																																		
	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)																																		
	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*																																		
	None																																		
	DIVIDENDS																																		

## Page 8 of 19

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



# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Bolt Guthrie

Page 9 of 19

BLOCK A Assets and/or Income Sources		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)	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*																																			
	<u>R. Northern Small</u>																																			
	<u>Cap Index</u>																																			
	<u>NSI OX</u>																																			
	<u>Northern Funds</u>																																			
	<u>International</u>																																			
	<u>NIO INX</u>																																			
	<u>Neuberger Berman</u>																																			
	<u>International</u>																																			
	<u>LARGE CAP</u>																																			
	<u>NBVCX</u>																																			
	<u>Cohen Stearns</u>																																			
	<u>Dividen Value</u>																																			
	<u>DVFI</u>																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Guthrie

Page 10 of 19

BLOCK A Assets and/or Income Sources		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)	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*																																			
	ST Lowell Guthrie Irrevocable Trust																																			
	BG, KY																																			
	1 of 4 Benefiting																																			
	Shore w/ 3																																			
	Siblings																																			
	100% Invested																																			
	in Trace Die Cost																																			
	BG, KY																																			
	Brett Guthrie																																			
	Gift Trust																																			
	100% Invested																																			
	in Trace Die Cost																																			
	Cost																																			
	BG, KY																																			

# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Steven Brett Authier

Page 11 of 19

BLOCK A Assets and/or Income Sources		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)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	XII	P, S, S(part), or E	
	Equity in Trace at Coast, Inc 140 N Graham Ave B6 KY						X																													
	KY Employment Retirement System																																			
	at Carolina Authier Trust																																			
	Shorew Siblings (1 of 4)																																			

Page 12 of 19

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

Name: Steven Brett Guthrie Page 13 of 19

**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.

SP, UC, JI	Asset
------------	-------

SP	Example	Mega Corp. Stock

ST	Mutual Fund - Sogen
	First Eagle Global
	Income A

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

Page 14 of 19

**INCOME LIMITS and PROHIBITED INCOME:** The 2017 limit on outside earned income for Members and employees compensated at or above the “senior staff” rate was \$27,765. The 2018 limit is \$28,050. In addition, certain types of income (notably honoraria, director’s fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

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

# SCHEDULE D - LIABILITIES

Name: Steven Brett Guthrie Page 15 of 19

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 the 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	Amount 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	5/15	Mortgage on Rental Property, Dover, DE				X							
ST	JP Morgan Chase of Columbus	11/11	Mortgage on Primary Residence		X									
ST/WI	US Bank, 4810	6/16	Co-signed for daughter's Primary Residence				X							
	Daughter Frederica St, Owensboro, KY		Residence											

## 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 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	Center for Gifted Studies at Western KY University
Advisory Board Member	Western Kentucky University
Board Member	Trace One Corp, Inc (Uncompensated)

Name: Steven Brett Cartman, Jr. Page 16 of 19

Date	Parties to Agreement	Terms of Agreement
11/3/19	Beth Guthrie & Trace Dore Cost	leave of absence for government service
11/3/19	B.G. & Trace Dore Cost	Reported 401k, noncontributing by myself or Trace
11/3/19	B.G. & Trace Dore Cost	Reported Defined Comp, noncontributing by Trace while on leave
11/09	KY Employee Retirement System KERS	Agreement between self & KERS-defined benefit No cash value or assets owned or controlled by me

Report the source (by name), a brief description, and the value of all gifts totaling more than \$390 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 \$156 or less need not be added towards the \$390 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule and some gifts require prior approval of the Committee on Ethics.

[illegible]



Page 7 of 19

**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]

Page 18 of 19

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.

[illegible]

Name: Steven Brett Ashrie Page 19 of 19

Page 19 of 19

NOTE NUMBER	NOTES
①	Cordyn Guthrie Trust is personal property of my late mother my father has 100% control
②	2015 Guthrie Family Trusts (Irrevocable) assets are the Surrender value of 2 Universal Life Insurance policies from Principal Life Insurance, Des Moines, IA The trust owns the policies