

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT

**FORM A**  
For use by Members, officers, and employees

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LEGISLATIVE RESOURCE CENTER

2011 MAY 13 PM 3:41

Steven Brett Guthrie

(Full Name)

202.225.3501

(Daytime Telephone)

**HAND DELIVERED**  
(Office Use Only)

<b>Filer Status</b>	<input checked="" type="checkbox"/> Member of the U.S. House of Representatives	State: <u>KY</u> District: <u>02</u>	<input type="checkbox"/> Officer Or Employee	Employing Office:
<b>Report Type</b>	<input checked="" type="checkbox"/> Annual (May 15)	<input type="checkbox"/> Amendment	<input type="checkbox"/> Termination	Termination Date:
				A \$200 penalty shall be assessed against anyone who files more than 30 days late.

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule I.		If yes, complete and attach Schedule VI.	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule II.		If yes, complete and attach Schedule VII.	
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$1,000 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule III.		If yes, complete and attach Schedule VIII.	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule IV.		If yes, complete and attach Schedule IX.	
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	
If yes, complete and attach Schedule V.			

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

<b>A Trusts--</b> 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 <input checked="" type="checkbox"/> No <input type="checkbox"/>
<b>Exemptions--</b> 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 <input type="checkbox"/> No <input checked="" type="checkbox"/>

# SCHEDULE I - EARNED INCOME

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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 preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
US Congress	Salary	\$174,000

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>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.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any domestic taxation of 2000 or later in a personal exemption or</p>		<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), 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. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
JT	Guthrie Family Irrevocable Trust, Carolyn and Greg Guthrie, Trustees, 1 of 4 children who share	\$100,001 - \$250,000	NONE	NONE	
	401k Retirement Plan Hartford Life	\$50,001 - \$100,000	NONE	NONE	
	Simsbury, CT				
	*American Growth Fund Indianapolis, IN				
	401k Retirement Plan Hartford Life	\$50,001 - \$100,000	NONE	NONE	
	Simsbury, CT				
	Franklin Growth Fund St. Petersburg, FL				

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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JT	US Bank Accounts Bowling Green, KY Checking/Savings	\$1,001 - \$15,000	INTEREST	\$1 - \$200		
	Deferred Compensation Plan ① MetLife Lexington, KY (Trace Die Cast, Inc.)	\$50,001 - \$100,000	NONE	NONE		
JT	Mutual Fund ② Wells Fargo Bowling Green, KY AF AMCAP Fund Class A Indianapolis, IN	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200		
JT	Mutual Fund Franklin Growth A St. Petersburg, Florida	\$15,001 - \$50,000	None	NONE		
SP	Insurance Policy New England Financial 700 Quaker Lane Warwick, RI	\$1,001 - \$15,000	None	NONE		
DC1	Insurance Policy ③ Reassurance American Life Insurance Company Whole Life Interest	\$1 - \$1,000	INTEREST/INTE REST	\$1 - \$200		
DC1	529 (3) C College Plan ④ T Row Price Balanced C Baltimore, MD	\$1,001 - \$15,000	None	NONE		P
DC1	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	\$1,001 - \$15,000	None	NONE		P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC1	529 (3) C College Plan Northern Equity Index 529 Portfolio C Chicago, IL	\$1 - \$1,000	None	NONE	P
DC1	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	\$1 - \$1,000	None	NONE	P
DC1	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P
DC1	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P
DC1	529 (3) C College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, New York	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan T Rowe Price Balanced C Baltimore, MD	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan Northern Equity Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P
DC2	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	\$1 - \$1,000	None	NONE	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC2	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P
DC2	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan Neuberger Berman International Large Cap 529 Portfolio C New York, New York	\$1,001 - \$15,000	None	NONE	P
DC3	529 (3) C College Plan T Rowe Price Balanced C Baltimore, MD	\$1,001 - \$15,000	None	NONE	P
DC3	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	\$1,001 - \$15,000	None	NONE	P
DC3	529 (3) C College Plan Northern Equity Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P
DC3	529 (3) C College Plan Northern Mid-Cap Index 529 Portfolio C Chicago, IL	\$1 - \$1,000	None	NONE	P
DC3	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P
DC3	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

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DC3		\$1,001 - \$15,000	None	NONE	P
529 (3) C College Plan Neuberger Berman International Large Cap 529 Portfolio C New York, New York					

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC1	529 (3) C College Plan T Row Price Balanced C Baltimore, MD	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Northern Equity Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	<\$1,000
DC1	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	<\$1,000
DC1	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	P	N/A	Monthly	<\$1,000
DC1	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, New York	P	N/A	Monthly	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC2	529 (3) C College Plan T Rowe Price Balanced C Baltimore, MD	P	N/A	Monthly	\$1,001 - \$15,000
DC2	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	P	N/A	Monthly	\$1,001 - \$15,000
DC2	529 (3) C College Plan Northern Equity Index 529 Portfolio C	P	N/A	Monthly	<\$1,000
DC2	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	<\$1,000
DC2	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	P	N/A	Monthly	<\$1,000
DC2	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC2	529 (3) C College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, New York	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) C College Plan T Rowe Price Balanced C Baltimore, MD	P	N/A	Monthly	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC3	529 (3) C College Plan Harbor Large Corp. Volume 529 Part C Chicago, IL	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) C College Plan Northern Equity Index 529 Portfolio C	P	N/A	Monthly	<\$1,000
DC3	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	<\$1,000
DC3	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	P	N/A	Monthly	<\$1,000
DC3	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) C College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, New York	P	N/A	Monthly	\$1,001 - \$15,000

**SCHEDULE VIII - POSITIONS**

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

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

# SCHEDULE IX - AGREEMENTS

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Identify the date, parties to, and general terms of any agreement or arrangement 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	Terms of Agreement
1/03/09	Brett Guthrie and Trace Die Cast, Inc.	Leave of absence due to government service
1/03/09	Trace Die Cast, Inc.	401k plan reported on Schedule III; maintained at Trace Die Cast; non-contributing by Brett Guthrie or Trace Die Cast
1/03/09	Trace Die Cast, Inc.	Deferred compensation reported on Schedule III; maintained by Trace Die Cast; non-contributing during leave of absence
January 1999	Kentucky Employees Retirement System	agreement between Brett Guthrie and Kentucky state legislature; 10 years of vestment in Kentucky Employees Retirement System, a defined benefit plan (no cash value or assets individually owned by me)

Footnotes for Cong. Steven Brett Guthrie's 2010 Financial Disclosure Statement

- 1) Deferred compensation plan is under management of Trace Die Cast, Inc. I do not select assets nor have knowledge of them. Trace does not currently contribute to this plan.
- 2) Mutual fund name changed from Wachovia to Wells Fargo. I did not direct this change. It was renamed due to a financial transaction at my agent's institution.
- 3) Name change due to financial institution. I had not initiated or directed the change.
- 4) All Van Kampen plans reported for 2009 were converted by my financial institution to the listed plans in 2010. I did not direct this exchange. It was due to a buyout of my agency. The shares of Van Kampen were exchanged for equal value shares with no decision on my part. The equal values of my Van Kampen assets were reallocated to the listed assets.