

UNITED STATES HOUSE OF REPRESENTATIVES

CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

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HAND DELIVERED

Steven Brett Guthrie

(Full Name)

(Daytime Telephone)

2013 MAY 14 PM 5:51

MC

LEGISLATIVE RESOURCE CENTER

Filer ☒ Member of the U.S. House of Representatives State: KY District: 02

☐ Officer Or Employee Employing Office:

Report Type ☒ Annual (May 15)

☐ Amendment

☐ 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 "unearned" income (e.g., salaries or fees) of \$100 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 \$350 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 \$350 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 \$200 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 checked="" type="checkbox"/> No <input 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.			

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?	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 benefiting you, your spouse, or dependent child?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Exemptions-- 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"/>

4440 DISTRICT

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
Candle Makers on the Square	Spouse Salary	\$1,420

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BLOCK A Asset and/or Income Source 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 source of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use 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 rental or other real property held for investment, provide a complete address or a 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); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	BLOCK B Year-End Value of Asset Indicate value of asset 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 during the reporting year and is included only because it generated income, the value should be "None." * This column is for assets held solely by your spouse or dependent child.	BLOCK C Type of Income 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.	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. Check "None" if no income was earned or generated. * This column is for income generated by assets held solely by your spouse or dependent child.	BLOCK E Transaction Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
JT The 1994 Guthrie Family Irrevocable Trust, Carolyn and Greg Guthrie, Trustees, 1 of 4 children who share* ①	\$100,001 - \$250,000	None/EXCEPT D TRUST/EXCEPT ED TRUST	NONE	
401k Retirement Plan Hartford Life Simsbury, CT American Growth Fund Indianapolis, IN	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	
401k Retirement Plan Hartford Life Simsbury, CT Franklin Growth Fund St. Petersburg, FL	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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JT	US Bank Accounts Bowling Green, KY Checking/Savings	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
	Deferred Compensation Plan MetLife Lexington, KY (Trace Die Cast, Inc)	\$50,001 - \$100,000	None	NONE	
JT	Mutual Fund Wells Fargo Bowling Green, KY AF AMCAP Fund Class A Indianapolis, IN Purchased \$200/month	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
SP	Insurance Policy New England Financial 700 Quaker Lane Warwick, RI	\$1,001 - \$15,000	None	NONE	
DC1	Insurance Policy Reassurance American Life Insurance Company Whole Life Interest	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC1	Cohen and Steers Dividend Value Part C New York, NY ②	\$1,001 - \$15,000	None	NONE	P
DC1	529 (3) C College Plan T Row Price Balanced C Baltimore, MD	\$15,001 - \$50,000	None	NONE	P
DC1	529 (3) C College Plan Northern Equity Index 529 Portfolio 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 Mid-Cop Index 529 Portfolio C Chicago, IL	\$1,001 - \$15,000	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 LargeCop 529 Portfolio C New York, NY	\$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	Cohen and Steers Dividend Value New York, NY (Exchanged Harbor Large Corp, Volume 529, Part C for Cohen and Steers) ②	\$1,001 - \$15,000	None	NONE	E
DC2	529 (3) C College Plan Northern Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	\$1 - \$1,000	None	NONE	P
DC2	529 (3) C College Plan Northern Small Company Index 529 Portfolio C	\$1 - \$1,000	None	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC2	529 (3) C College Plan Northern Interantional Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P
DC2	529 (3) C College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, NY	\$1,001 - \$15,000	None	NONE	P
DC3	529 (3) College Plan T Rowe Price Balanced C Baltimore, MD	\$1,001 - \$15,000	None	NONE	P
DC3	Cohen and Steers Dividend Value New York, NY (Exchanged Harbor Large Corp., Volume 529 Part C for Cohen and Steers) (4)	\$1,001 - \$15,000	None	NONE	E
DC3	529 (3) C College Plan Northern Equity Index 529 Portfolio C	\$1,001 - \$15,000	None	NONE	P
DC3	529 (3) C College Plan Northern Mid-Cop 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
DC3	529 (3) College Plan Neuberger Berman International Large Cop 529 Portfolio C New York, NY	\$1,001 - \$15,000	None	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name		Steven Brett Guthrie		Page 7 of 13	
	Lowell M. Guthrie Irrevocable Trust ⁽³⁾	\$500,001 - \$1,000,000	None	NONE	

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	Mutual Fund Wells Fargo Bowling Green, KY AF AMCAP Fund Class A Indianapolis, IN Purchased \$200/month	P	N/A	Monthly	\$1,001 - \$15,000
DC1	Cohen and Steers Dividend Value Part C New York, NY	E	N/A	6-20-2012	\$1,001 - \$15,000
DC1	529 (3) C College Plan T Row Price Balanced C Baltimore, MD	P	N/A	Monthly	\$15,001 - \$50,000
DC1	529 (3) C College Plan Northern Equity Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Northern Mid-Cop Index 529 Portfolio C Chicago, IL	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Neuberger Berman International LargeCop 529 Portfolio C New York, NY	P	N/A	Monthly	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

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	Cohen and Steers Dividend Value New York, NY	E	N/A	6-20-2012	\$1,001 - \$15,000
DC2	529 (3) C College Plan Northern Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC2	529 (3) C College Plan Northern Interational Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC2	529 (3) C College Plan Neuberger Berman International Large Cap 529 Portfolio C New York, NY	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) College Plan T Rowe Price Balanced C Baltimore, MD	P	N/A	Monthly	\$1,001 - \$15,000
DC3	Cohen and Steers Dividend Value New York, NY (Exchanged Harbor Large Corp., Volume 529 Part C for Cohen and Steers)	E	N/A	6-20-2012	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC3	529 (3) C College Plan Northern Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000
DC3	529 (3) College Plan Neuberger Berman International Large Cap 529 Portfolio C New York, NY	P	N/A	Monthly	\$1,001 - \$15,000
DC1	529 (3) C College Plan Northern International Equity Index 529 Portfolio C	P	N/A	Monthly	\$1,001 - \$15,000

SCHEDULE V - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. 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 it is rented out or you 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 a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. *This column is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
JT	JP Morgan Chase of Columbus, Ohio	11/2011	Mortgage on Personal Residence, Bowling Green, KY	\$100,001 - \$250,000

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 2012 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) Harbor Large Corp Fund's Shares were exchanged with Cohen and Steers Dividend value on June 20, 2012. This exchange was solely at the discretion of the fund manager. I had no decision-making role.
- 3) 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.