(2/99)

HAND DELIVERED
FEB 13 2009

KENTUCKY LEGISLATIVE ETHICS COMMISSION

STATEMENT OF FINANCIAL DISCLOSURE (KRS 6.787)

To be filed by: *All members of the General Assembly, all candidates and nominees for election to the General Assembly, and major management personnel in the legislative branch of state government.*

☐ Check here and attach additional sheets if necessary. _____ Number of sheets attached.

Please Include The Following Information For The Preceding Calendar Year:

Name Gregory D. Stumbo
Business address Room P.O. Box 1473; Prestonsburg, KY 41653
Business telephone (606) 886-9953
Home address 108 Kassidy Drive, Prestonsburg, KY 41653
Title of public position, or office sought State Representative, 95th District
Other occupations of filer Attorney
Occupations of spouse Real Estate Agent

NOTE: The Following Sections Do Not Require Disclosure Of Specific Dollar Amounts.

Positions held by filer in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation First Guaranty Bank, Martin, KY; Braveheart Investments; ERC Energy Inc.; Erdman & Stumbo Attorneys at Law, Richmond, KY (of counsel no fees received or other compensation during reporting period; Partnership of racehorse "Kassidy's Kiss" partners Greg Ginter; Morrie Floyd; Mike Bowling; Mike Eaves (now sold)

Positions held by filer's spouse in any business, partnership, corporation for profit, or corporation not for profit from which the filer receives compensation, and the name of the business, partnership, or corporation Agent, Keller Williams Bluegrass Reality

Names and addresses of all businesses, investments, or securities in which the filer, filer's spouse, or filer's minor children had at any time during the reporting year an interest of $10,000 at fair market value, or 5% ownership interest or more
First Guaranty Bank, Martin, KY; Braveheart Investments (Delaware Corporation), 1049 Palmer Court, Lexington, KY, 40511; Hillard-Lyons; Ross-Sinclair; 1/5 unraced filly "Kassidy's Kiss" – owned for part of reporting period now sold

Sources and form of gross income of the filer (list sources by name) Commonwealth of Kentucky; Braveheart Investments; Hillard-Lyons; Ross-Sinclair (income and dividends from publically traded stocks and bonds). Directors fee ERC Energy Inc; Rental property South Lake Drive, Prestonsburg, KY; Dividends First Guaranty Bank; Coal Royalty, Matco Inc. property acquired as part of fee for legal representation

Sources and form of gross income of the filer's spouse (list sources by name) _____
Keller-Williams Bluegrass Reality

Positions of a fiduciary nature in a business Director, First Guaranty Bank; President Braveheart Investments; Director, ERC Energy Inc.; Of counsel, Erdman & Stumbo Attorneys at Law

A designation as commercial, residential, or rural, and the location of all real property other than the filer's primary residence, in which there is an interest of $10,000 or more held by the filer, filer's spouse, or filer's minor children _____
1049 palmer Court, Lexington, KY (residential); 2533 Pascoli Place, Lexington, KY (residential); South Lake Drive Rental/building (commercial) Prestonsburg, KY

Sources of gifts of money or property with a retail value of more than $200 to the filer or the filer's immediate family, except those from a member of the filer's family. (Family means spouse, parent, sibling, child, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild. Immediate family means unemancipated child residing in an individual's household, spouse, or a person claimed by the filer's spouse as a dependent for tax purposes N/A

The name of any creditor owed more than $10,000 **except** debts arising from the purchase of consumer goods. (Goods used or bought for use primarily for personal, family, or household purposes) First Commonwealth Bank; Traditional Bank; First Guaranty Bank

The name of any legislative agent who is:

1. A member of the filer's immediate family;
2. A partner of the filer, or a partner of a member of the filer's immediate family;
3. An officer or director of the filer's employer;
4. An employer of the filer or an employer of a member of the filer's immediate family;
5. A business associate of the filer or a business associate of a member of the filer's immediate family

N/A

The names of any of the filer's clients who are legislative agents or employers N/A

If you have held a professional license during the filing period, has a properly licensed partner of yours engaged in the practice of cases or other matters which you are prohibited from practicing under KRS 6.744? ☐ Yes x No ☐ Not Applicable

If yes, list the names of the clients represented and list the agencies before which the partner made an appearance. The filer need not identify which client was represented before a specific agency.

Clients

N/A

State Agency

N/A

_____.

NOTICES

1. Upon receipt by the Commission, a statement of financial disclosure shall be a public record available for copying.

2. Any person who fails to file a statement of financial disclosure or who fails to remedy a deficiency identified by the Commission in a timely manner may be fined an amount not to exceed $100 per day up to a maximum total fine of $1000.

3. Any person who files a statement of financial interests which they know to contain false information, or to omit required information, shall be guilty of a class A misdemeanor.

2/10/09
Date

[redacted]
Filer

Send completed statements to: The Kentucky Legislative Ethics Commission
22 Mill Creek Park
Frankfort, Kentucky 40601
FAX (502) 573-2929

If you have questions please call us at (502) 573-2863.

GREGORY D. STUMBO
SPEAKER

COMMONWEALTH OF KENTUCKY
OFFICE OF THE SPEAKER
HOUSE OF REPRESENTATIVES

STATE CAPITOL
FRANKFORT, KY 40601
502-564-3366

January 21, 2009

RECEIVED
JAN 21 2009

John Schaaf, General Counsel
Legislative Branch Ethics Commission
22 Mill Creek Park
Frankfort, KY 40601

Dear Mr. Schaaf:

Thank you for taking the time to advise me concerning my Financial Disclosure Form of January 28, 2008 about the issue of my ownership in a horse named "Kassidy's Kisses". I am an owner of 20% of the horse that was purchased at the September, 2007 Keeneland sale. She has never been raced due to a series of complications. I did not think of her as an "investment" in January of 2008 because the trainer had not told us whether or not she would ever be fit to race.

This may not be a required disclosure, but I wish to ensure that this information is publicly available. I will include it on my next disclosure form as well, which is due on February 15, 2009. Please also attach this letter to my existing disclosure form as an amendment.

Sincerely,

[redacted]

Gregory D. Stumbo
Speaker of the House