

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Briscoe, Mary B.	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 08/07/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 645 Massachusetts Suite 400 Lawrence, Kansas 66044		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. '84-present	Kansas Public Employees Retirement System (KPERs) - Judges' Retirement Program - vested
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

08/07/2014

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	KS Public Employees Retirement System - Judge's Retirement Program	\$37,646.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	KU Law School - Director, Legal Aid Clinic-salary
2. 2013	Western Professional Associates, Inc. - nonemployee compensation
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

08/07/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

08/07/2014

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Capitol Federal - savings	B	Interest	O	T					
2. Capitol Federal - checking	A	Interest	J	T					
3. Capitol Federal - CDs	B	Interest			Redeemed	04/15/13	M		
4. Fidelity Annuity (formerly Vanguard) Variable Annuity)	C	Dividend	L	T					
5. ING-CAB-Ks Bd RegentsRet.(def.comp) (formerly Aetna)	D	Interest			Closed	04/10/13	N		
6. Ameritrade - Cash	B	Interest	J	T	Spinoff (from line 5)	04/10/13	J		
7. Ameritrade - SPDR Barclays	D	Dividend	M	T	Spinoff (from line 5)	04/10/13	M		
8. Ameritrade - Highland Floating Rate	C	Dividend	M	T	Spinoff (from line 5)	04/10/13	M		
9. Ameritrade - Total Income Plus	C	Interest	M	T	Spinoff (from line 5)	04/10/13	M		
10. Overland Park KS Impt. Bonds	B	Interest			Redeemed	02/10/13	K		
11. USAA-Subscr. svgs.	A	Dividend	J	T					
12. H. Davidson - stock	A	Dividend	L	T					
13. I Shares S&P Midcap 400 Growth	A	Dividend	K	T	Buy (add'l)	05/24/13	K		
14.					Buy (add'l)	06/07/13	J		
15. Johnson Co. USD 231	A	Interest	K	T					
16. Shawnee Co. KS Bond	B	Interest	L	T					
17. Johnson Co. KS School Bond (also USD 231)	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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Briscoe, Mary B.

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Centerpoint Energy	A	Dividend	J	T					
19. Fidelity Contra Fund	D	Dividend			Sold	07/24/13	K	D	
20. Fidelity Cash Reserves (Core Fund)	A	Interest	J	T					
21. Bank New York Inc.	B	Interest	K	T					
22. Fidelity Tax Exempt (MMKT)	D	Dividend	K	T	Sold (part)	01/09/13	J		
23.					Sold (part)	01/16/13	J		
24.					Buy (add'l)	03/01/13	J		
25.					Buy (add'l)	04/01/13	J		
26.					Buy (add'l)	04/02/13	J		
27.					Sold (part)	04/04/13	J		
28.					Buy (add'l)	04/18/13	J		
29.					Sold (part)	06/12/13	J		
30.					Buy (add'l)	06/14/13	J		
31.					Buy (add'l)	07/02/13	J		
32.					Sold (part)	07/11/13	J		
33.					Buy (add'l)	07/25/13	K		
34.					Sold (part)	07/29/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$5,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

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35.					Buy (add'l)	09/13/13	J		
36.					Buy (add'l)	12/09/13	K		
37. Templeton Global Bond	B	Dividend	L	T					
38. Royce Premier Fund	E	Dividend			Sold	04/15/13	L	E	
39. Fidelity High Income	B	Interest	K	T	Buy (add'l)	04/01/13	K		
40. SPDR Gold Tr. Gold	D	Interest			Sold	04/15/13	K	D	
41. Fidelity GNMA Bond	B	Dividend	K	T					
42. Overland Park, KS Go Intl Bnds	B	Interest	K	T					
43. Lenexa, KS Go Ref Bnds	A	Interest	K	T					
44. Fidelity Focused High Income	C	Interest			Sold (part)	01/15/13	J	C	
45.					Sold	04/01/13	K	C	
46. Harbor Bond Adm.	B	Interest	L	T	Sold (part)	01/15/13	J		
47. Eaton Vance Atlanta Cop. (Floating Rate A	C	Dividend	M	T	Buy (add'l)	04/02/13	K		
48.					Buy (add'l)	05/22/13	K		
49.					Sold (part)	07/24/13	J	C	
50. TCW Core Fixed	D	Interest	L	T	Sold (part)	10/31/13	J	A	
51.					Buy (add'l)	11/01/13	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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Briscoe, Mary B.

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52. Wells Fargo Growth	C	Interest	K	T	Sold (part)	04/09/13	K	C	
53. FMI Large Cap	C	Interest	L	T					
54. Double Line Total Rt Bond	C	Dividend	M	T					
55. Fidelity New Markets	C	Dividend	K	T					
56. Wasatch International Growth	B	Interest	L	T	Buy (add'l)	06/03/13	K		
57. Metropolitan West Total Return Bond Fund	C	Dividend	L	T	Buy (add'l)	01/15/13	K		
58. Pimco Fundamental	C	Interest	K	T					
59. BBH Core Select	A	Interest			Sold (part)	07/24/13	J	B	
60.					Sold	12/06/13	K	D	
61. 1 Shares Russell 1000 Value	A	Dividend	K	T	Buy	07/24/13	K		
62. 1 Shares CORE S&P Mid-Cap	A	Dividend	K	T	Buy	06/07/13	J		
63. American Century Value Inv.	A	Dividend	K	T	Buy	07/24/13	K		
64. OakMark International CL	A	Interest	K	T	Buy	04/09/13	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

08/07/2014

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Briscoe, Mary B.

Date of Report

08/07/2014

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Mary B. Briscoe

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544