

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 645 Massachusetts Suite 400 Lawrence, KS 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-presnt	Kansas Public Employees Retirement System (KPERs) - Judges' Retirement Program - vested
2.	
3.	

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Briscoe, Mary B.

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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. 2019	KS Public Employees Retirement System - Judge's Retirement Program	\$37,634.00
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. 2019	Western Professional Associates, Inc. - nonemployee compensation
2.	
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.				

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Briscoe, Mary B.	04/16/2020

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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. American Century Value	B	Dividend			Sold (part)	03/26/19	J		
2.					Sold (part)	08/06/19	K	D	
3.					Sold	10/24/19	K		
4. American Funds Tax Advantage	B	Dividend	L	T					
5. Baird Agg Bond Fund	C	Dividend	M	T	Buy	03/26/19	J		
6.					Sold (part)	10/03/19	J	A	
7. CenterPoint Energy common stock CNP	B	Dividend	L	T	Buy (add'l)	01/28/19	J		
8.					Buy (add'l)	03/19/19	J		
9.					Buy (add'l)	09/16/19	J		
10.					Buy (add'l)	12/12/19	J		
11. Columbia Capital Allocation Moderate Portfolio ABUAX	C	Dividend	L	T					
12. Columbia Income Builder Fund RBBAX	B	Dividend	K	T					
13. DoubleLine Total Return Bond Fund Class I DBLTX	C	Dividend	M	T					
14. DoubleLine Total Return Bond Fund Class N DLTNX	D	Dividend	M	T	Buy (add'l)	03/29/19	J		
15.					Sold (part)	10/03/19	J	A	
16.					Sold (part)	12/19/19	J		
17. Eaton Vance Floating Rate Advantage Fund Class A EAFAX	C	Dividend	L	T	Sold (part)	03/26/19	K	D	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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18.					Sold (part)	12/19/19	J		
19. Templeton Global Bond Class A TPINX [converted to TGBAX]	A	Dividend			Closed	05/28/19	K		
20. Templeton Global Bond Advisor Class TGBAX	A	Dividend			Open	05/28/19	K		
21.					Sold	08/26/19	K	D	
22. Fidelity Puritan FPURX	B	Dividend	K	T					
23. Fidelity Total Bond Fund FTBFX	D	Dividend	M	T	Sold (part)	12/19/19	J	A	
24. Harbor Bond Admin CL HABDX	B	Dividend	L	T					
25. Harbor Bond Admin CL HRBDX	A	Dividend			Sold (part)	07/23/19	K		
26.					Sold (part)	07/23/19	J	A	
27.					Sold	07/23/19	K	C	
28. Harding Loevner Emerging Markets Portfolio Advisor Class HELMX	A	Dividend	K	T	Sold (part)	05/14/19	J	A	
29.					Sold (part)	08/02/19	J	A	
30.					Sold (part)	08/02/19	J	B	
31. Harding Loevner Institutional Emerging Mkts HLMEX	A	Dividend	J	T	Buy	08/02/19	J		
32.					Buy (add'l)	08/02/19	J		
33.					Sold (part)	11/12/19	J	A	
34.					Buy (add'l)	11/26/19	J		

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 =\$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 (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	

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35. Invesco Oppenheimer Rochester AMT-Free Muni OPTAX	A	Dividend	K	T					
36.			J	T	Buy	05/16/19	K		
37. BlackRock: iShares Barclays Aggregate Bond Fund AGG	D	Dividend	O	T	Buy	03/26/19	K		
38.					Buy (add'l)	03/26/19	K		
39.					Buy	04/22/19	J		
40.					Sold (part)	10/03/19	J	A	
41.					Sold (part)	10/03/19	J	A	
42.					Buy (add'l)	11/13/19	L		
43.					Buy (add'l)	11/13/19	K		
44. BlackRock: iShares Russell 1000 Value ETF IWD	B	Dividend	L	T					
45. BlackRock: iShares S&P 500 Growth Index IVW	D	Dividend	M	T	Sold (part)	03/26/19	J	A	
46.					Sold (part)	11/12/19	J	A	
47.					Sold (part)	12/19/19	K	C	
48. BlackRock: iShares S&P 500 Index IVV	A	Dividend	K	T	Sold (part)	03/26/19	J	B	
49.					Sold (part)	10/03/19	J	B	
50. BlackRock: iShares S&P 500 Value IVE	B	Dividend	M	T	Buy	02/20/19	J		
51.					Buy	10/24/19	K		

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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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52.					Sold (part)	11/12/19	J	B	
53.					Buy (add'l)	11/29/19	K		
54.					Buy (add'l)	12/13/19	J		
55.					Sold (part)	12/13/19	J	C	
56.					Sold (part)	12/13/19	J	A	
57.					Buy (add'l)	12/19/19	K		
58. BlackRock: iShares S&P MidCap 400 Growth IJK	A	Dividend	J	T	Sold (part)	03/26/19	J	B	
59.					Sold (part)	12/19/19	J	C	
60. BlackRock: iShares S&P MidCap 400 Value ETF IJJ	A	Dividend	K	T	Sold (part)	12/19/19	J	A	
61. BlackRock: iShares S&P 500 SmallCap 600 Index IJR	A	Dividend	L	T	Sold (part)	02/20/19	J	A	
62.					Sold (part)	03/26/19	K		
63.					Buy (add'l)	09/11/19	K		
64.					Buy (add'l)	12/19/19	J		
65. BlackRock: iShares TR/CORE MSCI EAFE ETF IEFA	B	Dividend	K	T	Sold (part)	02/20/19	K		
66.					Sold (part)	03/26/19	K	B	
67.					Sold (part)	03/26/19	K		
68.					Sold (part)	08/06/19	J		

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69.					Buy (add'l)	11/19/19	J		
70.					Buy (add'l)	11/29/19	J		
71.					Buy (add'l)	12/19/19	J		
72. Metropolitan West Total Return Bond Fund MWTRX	D	Dividend	M	T	Sold (part)	08/07/19	J	A	
73.					Sold (part)	10/03/19	K	A	
74.					Sold (part)	10/03/19	J	A	
75.					Sold (part)	10/03/19	K	A	
76. Oakmark Fund Investor Class OAKMX	C	Dividend	K	T					
77. Oakmark International Fund Investor OAKIX [converted to OAYIX]		None			Closed	07/25/19	K		
78. Oakmark International Advisor Fund OAYIX	A	Dividend	K	T	Open	07/25/19	K		
79.					Sold (part)	08/06/19	J		
80.					Sold (part)	11/12/19	J		
81.					Sold (part)	12/12/19	J		
82. Performance Trust Strategic Bond Fund PTIAX	B	Dividend	L	T					
83. PIMCO Income Fund Class A PONAX	C	Dividend	M	T	Sold (part)	12/19/19	J		
84. Fidelity VIP High Income		None			Sold	03/26/19	J		
85. Fidelity VIP Overseas		None	L	T	Buy	03/26/19	K		

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

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86. PIMCO VIT Total Return		None	L	T	Buy	10/03/19	L		
87. Templeton Global Bond VIP Fund		None			Sold	10/01/19	L		
88. Fidelity Variable Annuity fixed (H)									
89. Templeton Global Bond Fund TPINX [converted to TGBAX]	A	Dividend			Closed	05/28/19	K		
90. Templeton Global Bond Fund Advisor TGBAX	A	Dividend			Open	05/28/19	K		
91.					Buy (add'l)	08/06/19	J		
92.					Sold (part)	08/26/19	J		
93.					Sold	08/26/19	K	D	
94. The Hartford Intl Opportunity Fund	A	Dividend	K	T	Buy	02/20/19	K		
95.					Buy	02/20/19	J		
96. Vanguard Life Strategy VASIX	A	Dividend	K	T					
97. Vanguard Short Term VFSTX	B	Dividend	L	T					
98. Voya Cr Fund VCFAX	B	Dividend	L	T	Buy	10/07/19	L		
99. Wells Fargo Diversified Income Builder Fund EKSAX	C	Dividend	L	T	Sold (part)	12/19/19	K		
100.					Buy	12/30/19	J		
101. Wells Fargo Special Mid Cap Value Fund WFMIX	A	Dividend			Sold (part)	02/20/19	J	B	
102.					Sold (part)	08/06/19	J	D	

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103.					Sold	12/13/19	J	C	
104. CD Capitol One: cash account	A	Interest			Redeemed	11/08/19	K		
105. CD Discover Bank: cash account	A	Interest			Redeemed	03/01/19	K		
106. CD Goldman Sachs: cash account	A	Interest			Redeemed	05/08/19	K		
107. CD NY Bank of Mellon: cash account	A	Interest			Buy	03/18/19	K		
108.					Redeemed	06/18/19	K		
109. CD JP Morgan Chase: cash account	A	Interest			Buy	03/29/19	K		
110.					Redeemed	09/30/19	K		
111. CD PNC: cash account	A	Interest			Redeemed	08/28/19	K		
112. CD Wells Fargo: cash account	A	Interest			Redeemed	12/30/19	K		
113. CD JP Morgan Chase: cash account	A	Interest			Buy	01/12/19	K		
114.					Redeemed	05/30/19	K		
115. Glenmede SmallCap Equity Portfolio Class Adv GTCSX[converted to GTSCX]		None			Buy	03/26/19	K		
116.					Closed	08/12/19	K		
117. Glenmede Small Cap Portfolio Institutional Class GTSCX	A	Dividend			Open	08/12/19	K		
118.					Sold	09/11/19	K	A	
119. CD Barclays Bank: cash account		None	K	T	Buy	07/18/19	K		

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2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Briscoe, Mary B.

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04/16/2020

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)
120. BlackRock: iShares Intl Aggregate Bond	A	Dividend	L	T	Buy (add'l)	10/03/19	K		
121.					Buy (add'l)	10/03/19	L		
122.					Buy (add'l)	11/12/19	J		
123. BlackRock: iShares Trust CMBS ETF	A	Dividend	K	T	Buy	10/25/19	K		
124. PIMCO Intl Bd (U.S. Dollar-hedged) I-3 PFONX	C	Dividend	L	T	Buy	08/26/19	J		
125.					Buy (add'l)	08/26/19	K		
126.					Buy (add'l)	10/03/19	L		
127.					Buy (add'l)	11/12/19	J		
128. Fidelity Govt Money Market Premium Class: cash account FZCXX	A	Interest	M	T	Buy	08/14/19	M		
129.					Buy (add'l)	11/14/19	L		
130. PIMCO Total Return Fund CL I3 PTTNX	A	Dividend			Buy	07/23/19	K		
131.					Buy (add'l)	07/23/19	K		
132.					Buy (add'l)	07/23/19	J		
133.					Sold (part)	10/03/19	K	B	
134.					Sold (part)	10/03/19	K	A	
135.					Sold	10/03/19	J	A	
136. BlackRock: iShares Core MSCI Emerging Markets ETF IEMG	A	Dividend			Buy	02/20/19	J		

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 =\$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 (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	

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Name of Person Reporting

Briscoe, Mary B.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Sold (part)	03/26/19	J		
138.					Sold	05/14/19	J		
139. Fidelity High Income SPHIX		None			Buy	02/20/19	J		
140.					Sold	04/22/19	J	A	
141. Fidelity Self Managed Core Account: cash account	A	Interest	L	T					
142. Fidelity Joint Core Account: cash account	A	Interest	J	T					
143. Fidelity CAB Rollover Core Account: cash account	A	Interest	K	T					
144. Fidelity MBB IRA Core Account: cash account	A	Interest	J	T					
145. Fidelity CAB IRA Core Account: cash account	A	Interest	J	T					
146. Fidelity MBB Roth IRA Core Account: cash account	A	Interest	J	T					
147. Farmers and Drovers Bank money market: cash account	A	Interest	K	T					
148. Farmers and Drovers Bank checking: cash account	A	Interest	K	T					
149. Capitol Federal checking: cash account	A	Interest	K	T					
150. Capitol Federal money mkt	C	Interest	N	T					
151. Capitol Federal money mkt: cash account	A	Interest	K	T					
152. Capitol Federal CD: cash account	C	Interest	M	T					
153. Farmers and Drovers Bank CD: cash account	A	Interest	K	T					

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 =\$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 (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	

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

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Name of Person Reporting

Briscoe, Mary B.

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04/16/2020

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