

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) Kelly, Jr., Paul J.	2. Court or Organization U.S. Court of Appeals-10th Cir	3. Date of Report 04/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Post Office Box 10113 Santa Fe, New Mexico 87504-6113		
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. Board of Directors	Hondo Fire & Rescue, 501 (3)(C)
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Kelly, Jr., Paul J.

Date of Report

04/16/2020

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	State of New Mexico, Public Employees Retirement Assn. Volunteer Firefighter Pension	\$1,500.00
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.	
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. 2019 Irving R. Kaufman Memorial Securities Law Moot	3/29-4/1/2019	New York, New York	Judge final round of Comp	Transportation, lodging and meals.
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Kelly, Jr., Paul J.	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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Kelly, Jr., Paul J.

Date of Report

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)	(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. U.S. Bank, Santa Fe, NM (cash (equivalent))	A	Interest	L	T					
2. Misc. Oil & Gas Interests (Lea & Eddy Co., NM)(Wyo, Texas)	A	Royalty	J	W					
3. Rich Third Ltd.	B	Dividend	K	W					
4. First National Tower Ltd.	A	Dividend	L	W					
5. Northwestern Mutual Life (whole life)	D	Int./Div.	L	T					
6. Goldman Sachs Tr. Fnd. Treas. Int.	A	Dividend	J	T	Buy	02/14/19	J		
7.					Sold (part)	04/02/19	J	A	
8. JP Morgan Tr 1 Intrepid Value Fd.	A	Dividend	J	T	Sold (part)	08/13/19	J	A	
9. Invesco (Name change -Oppenheimer Dev. Mkts)	A	Dividend	J	T	Sold (part)	02/14/19	J	A	
10. Neuberger Berman Alt. Funds	A	Dividend	J	T	Sold (part)	08/13/19	J	A	
11. Blackrock Fd Tr. Core Bond Ins't. Cl.	A	Dividend	J	T					
12. American Euro Pacific Gr. Cl. F-2	A	Dividend	J	T	Buy	08/13/19	J		
13. US Bancorp	A	Dividend	J	T					
14. Harbor Fund Cap App. Inst. Cl.	A	Dividend	J	T					
15. Harbor Fund Small Cap	A	Dividend	J	T	Buy	08/13/19	J		
16. MFS Ser. Tr X Emerging Mkts	A	Dividend	J	T	Buy	08/13/19	J		
17. Principial Fds Inc Mid Cap	A	Dividend	J	T	Buy	08/13/19	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Kelly, Jr., Paul J.

Date of Report

04/16/2020

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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 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)
18. Principal Fds Inc H.Y. Inst. Cl.	A	Dividend	J	T					
19. Principal Fds Global RE Sec	A	Dividend			Sold	08/13/19	J	A	
20. John Hancock Abs. Return Currency	A	Dividend			Sold	12/06/19	J	A	
21. Metropolitan West Fds Tot Return	A	Dividend	J	T	Buy	08/13/19	J		
22. Invesco (Name change - Oppenheimer Int'l Bd Fd)	A	Dividend			Sold	08/13/19	J	A	
23. Eaton Vance	A	Dividend	J	T					
24. Deutsche Sec Tr Enhanced Com. Strategy	A	Dividend			Sold	08/13/19	J	A	
25. AIG Focused Div Strategy (fna Sunamerica Foc Div Strategy Portfolio)	A	Dividend	M	T					
26. Invesco (Name change - Oppenheimer Maint. Shrt Y)	A	Dividend	J	T	Buy	08/13/19	J		
27. AQR Managed Fut.Strat	A	Dividend	J	T					
28. Blackrock Fds Global Long/Short Gr.Fd	A	Dividend	J	T	Buy	02/13/19	J		
29. MFS Ser. Tr. 1 Val. Fd. Cl. 1	A	Dividend	J	T	Buy	08/13/19	J		
30. Meridian Fd Sml Cap Gr.	A	Dividend	J	T					
31. Met. West Fd Total Ret	A	Dividend	J	T	Buy	02/14/19	J		
32.					Buy	12/06/19	J		
33. Prin Fds Global RE Sec	A	Dividend	J	T	Sold (part)	08/13/19	J	A	
34. Nuveen Inv. Fd RE Sec. Fd Cl 1	A	Dividend	J	T	Sold (part)	08/13/19	J	A	

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	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)
35. Bank of India NY 2.5% C/D due 5/29/19	A	Interest			Redeemed	05/29/19	K	A	
36. Wells Fargo Bank NA Sioux Falls 2.75% C/D due 12/30/19	A	Interest			Redeemed	12/30/19	K	A	
37. Fidelity 500 Index Fd.	A	Dividend	J	T	Buy	02/14/19	J		
38. Gabelli ABC Fund	A	Dividend			Buy	02/13/19	J		
39.					Sold	08/13/19	J	A	
40. Black Rock Global Long - Short	A	Dividend	J	T	Buy	02/13/19	J		
41.					Sold (part)	08/13/19	J	A	
42. Bavid Fds Agg Bd. Fd.	A	Dividend	J	T	Buy	08/13/19	J		
43. Wells Fargo Money Market	B	Interest	L	T					
44.									

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
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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

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting Kelly, Jr., Paul J.	Date of Report 04/16/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Kelly, Jr., Paul J.

Date of Report

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/ **Paul J. Kelly, Jr.**

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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