

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/20/2021
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 01/01/2020 to 12/31/2020
	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.	

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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. 2020	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.				
2.				
3.				
4.				
5.				

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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.		

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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)
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					
7. JP Morgan Tr 1 Intrepid Value Fd.	A	Dividend			Sold	03/05/20	J	A	
8. Invesco (Name change -Oppenheimer Dev. Mkts)	A	Dividend	J	T	Sold (part)	03/05/20	J	A	
9. Neuberger Berman Alt. Funds	A	Dividend	J	T					
10. Blackrock Fd Tr. Core Bond Ins't. Cl.	A	Dividend	J	T					
11. American Euro Pacific Gr. Cl. F-2	A	Dividend	J	T					
12. US Bancorp	A	Dividend	J	T					
13. Harbor Fund Cap App. Inst. Cl.	A	Dividend			Sold	03/05/20	J	A	
14. Harbor Fund Small Cap	A	Dividend	J	T	Buy	03/05/20	J		
15. MFS Ser. Tr X Emerging Mkts	A	Dividend	J	T					
16. Principial Fds Inc Mid Cap	A	Dividend	J	T					
17. Principal Fds Inc H.Y. Inst. Cl.	A	Dividend	J	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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18. Metropolitan West Fds Tot Return	A	Dividend	J	T					
19. Eaton Vance	A	Dividend	J	T					
20. AIG Focused Div Strategy (fna Sunamerica Foc Div Strategy Portfolio)	A	Dividend	M	T					
21. Invesco (Name change - Oppenheimer Maint. Shrt Y)	A	Dividend	J	T					
22. AQR Managed Fut.Strat	A	Dividend	J	T					
23. Blackrock Fds Global Long/Short Gr.Fd	A	Dividend	J	T					
24. MFS Ser. Tr. 1 Val. Fd. Cl. 1	A	Dividend	J	T					
25. Meridian Fd Sml Cap Gr.	A	Dividend	J	T					
26. Met. West Fd Total Ret	A	Dividend	J	T					
27. Prin Fds Global RE Sec	A	Dividend	J	T					
28. Nuveen Inv. Fd RE Sec. Fd Cl 1	A	Dividend	J	T					
29. Fidelity 500 Index Fd.	A	Dividend	J	T					
30. Black Rock Global Long - Short	A	Dividend	J	T					
31. Bavid Fds Agg Bd. Fd.	A	Dividend	J	T					
32. Wells Fargo Money Market	B	Interest	L	T					
33. Diamond Hill Lg Corp	A	Dividend	J	T	Buy	03/05/20	J		
34. 45 Mainstay Winslow Lg Cap Growth	A	Dividend	J	T	Buy	03/05/20	J		

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

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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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Washington, D.C. 20544