

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/07/2017
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 01/01/2016 to 12/31/2016
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-present	Kansas Public Employees Retirement System (KPERs) - Judges' Retirement Program - vested
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. 2016	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. 2016	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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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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) 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. Fidelity Annuity (formerly Vanguard) Variable (H) Annuity									
4. Fidelity VIP High Income (X)	A	Dividend	K	T	Buy (add'l)	05/25/16	K		
5. Fidelity VIP Overseas (X)	A	Dividend	K	T					
6. Fidelity VIP Disciplined Small Cap (X)	A	Dividend			Sold	05/25/16	K		
7. Templeton Global Bond (X)	A	Dividend	K	T					
8. NRG Energy, Inc.	A	Dividend			Sold	11/25/16	J	A	
9. Centerpoint Energy	A	Dividend	K	T					
10. Fidelity Total Bond	C	Dividend	M	T					
11. Metro West Total Return	C	Dividend	M	T	Sold (part)	05/25/16	K		
12. Oakmark Fund	A	Dividend	K	T	Sold (part)	07/11/16	K	B	
13. USAA-Subscr. svgs.	A	Dividend	J	T					
14. H. Davidson - stock	A	Dividend			Sold (part)	11/01/16	K	E	
15.					Sold	12/12/16	J	B	
16. I Shares S&P 500 Growth	C	Dividend	M	T	Buy (add'l)	05/27/16	J		
17. Johnson Co. KS School Bond (USD 231)	A	Interest			Redeemed	10/03/16	K	E	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
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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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. Fidelity Cash Reserves (Core Fund)	A	Interest	J	T					
19. Bank New York Inc.	B	Interest	K	T					
20. Fidelity Cap & Income	A	Interest			Sold	08/15/16	K	C	
21. Templeton Global Bond	A	Dividend	K	T	Sold (part)	07/01/16	K	B	
22. Fidelity GNMA Fund	C	Dividend			Buy (add'l)	04/12/16	M		
23.					Buy (add'l)	05/25/16	K		
24.					Sold	12/19/16	L	C	
25. Overland Park, KS Go Intl Bnds	B	Interest	K	T					
26. Harbor Bond Adm.	A	Interest			Sold (part)	05/25/16	J		
27.					Sold	11/17/16	K	C	
28. Eaton Vance Atlanta Cop. (Floating Rate A)	B	Dividend	K	T	Sold (part)	01/14/16	J		
29. TWC Core Fixed	B	Interest			Sold	12/19/16	L	F	
30. Double Line Total Rt Bond	D	Dividend	N	T	Buy (add'l)	05/25/16	J		
31.					Sold (part)	08/08/16	K		
32. I Shares CORE S&P 500 Index	B	Dividend	M	T	Buy (add'l)	05/27/16	J		
33.					Buy (add'l)	11/21/16	K		
34.					Sold (part)	09/14/16	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 = \$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. 1 Shares Russell 1000 Value	B	Dividend	K	T					
36. 1 Shares S&P Mid-Cap 400 Growth	A	Dividend	L	T	Buy	05/27/16	K		
37.					Sold (part)	11/21/16	J		
38. 1 Shares CORE US Agg	A	Dividend	M	T	Sold (part)	05/27/16	K		
39.					Buy (add'l)	11/21/16	L		
40.					Buy (add'l)	12/21/16	M		
41. 1 Shares S&P 500 Value	A	Dividend	K	T	Sold (part)	12/21/16	J		
42. American Century Value Inv.	B	Dividend	L	T	Sold (part)	05/25/16	J	A	
43.					Sold (part)	12/19/16	J	A	
44. OakMark International CL	A	Interest	L	T	Buy (add'l)	05/25/16	J		
45. Wells Fargo Advtg Special Mid-Cap	A	Interest	K	T					
46. Harding Loevner Em. Mkt.	A	Dividend	K	T	Buy	09/12/16	K		
47. Baird Aggregate Bond	A	Interest	M	T	Buy	05/25/16	K		
48.					Buy (add'l)	07/21/16	K		
49.					Buy (add'l)	08/15/16	K		
50. Harbor Bond Inst.	B	Interest	L	T	Buy	12/19/16	L		
51. 1 Shares CORE S&P Small Cap	A	Dividend	K	T	Buy	08/10/16	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 = \$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 \$5,000,000	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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52. I Shares Trust CORE	A	Dividend	K	T	Buy	05/27/16	K		
53.					Buy (add'l)	11/21/16	K		
54.					Sold (part)	11/21/16	K		
55. Vanguard Short Term	A	Dividend	K	T	Buy	08/25/16	K		
56. Vanguard Long term	A	Dividend			Buy	07/13/16	L		
57.					Sold	11/25/16	L	B	
58. Vanguard Life	A	Dividend	K	T	Buy	08/25/16	K		
59. Fidelity Tax Free Bond	A	Dividend	K	T	Buy	08/11/16	K		

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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/ 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