

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/02/2018
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 01/01/2017 to 12/31/2017
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. 2017	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. 2017	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. Capital One Nat'l Assn CD	A	Interest	K	T	Buy	11/06/17	K		
4. Compass Bank Birmingham, Ala CD	A	Interest	K	T	Buy	11/06/17	K		
5. Discover Bank CD	A	Interest	K	T	Buy	11/06/17	K		
6. Goldman Sachs Bank CD	A	Interest	K	T	Buy	11/06/17	K		
7. Fidelity Annuity (formerly Vanguard) Variable (H) Annuity									
8. Fidelity VIP High Income (X)	A	Dividend	L	T					
9. Fidelity VIP Overseas (X)	A	Dividend	K	T					
10. Templeton Global Bond (X)	A	Dividend	K	T					
11. Centerpoint Energy	B	Dividend	K	T					
12. Fidelity Total Bond	D	Dividend	M	T					
13. Metro West Total Return	B	Dividend	M	T	Buy (add'l)	12/05/17	K		
14. Oakmark Fund	A	Dividend	K	T	Sold (part)	09/22/17	K	C	
15. USAA-Subscr. svgs.	A	Dividend	J	T					
16. 1 Shares S&P 500 Growth	B	Dividend	M	T	Sold (part)	04/10/17	J	A	
17.					Sold (part)	05/20/17	J	A	

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 = \$250,000.01 - \$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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☐ 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.					Sold (part)	09/25/17	J	A	
19.					Sold (part)	12/05/17	K	B	
20.					Buy (add'l)	12/15/17	K		
21.					Sold (part)	12/20/17	J	C	
22. Fidelity Cash Reserves (Core Fund)	A	Interest	J	T					
23. Bank New York Inc.	B	Interest			Redeemed	12/01/17	K		
24. Templeton Global Bond	A	Dividend	K	T					
25. Fidelity GNMA Fund	B	Dividend	M	T	Buy (add'l)	01/06/17	M		
26.					Sold (part)	05/25/17	K	C	
27.					Sold (part)	12/19/17	J	A	
28. Overland Park, KS Go Intl Bnds	B	Interest			Redeemed	09/01/17	K		
29. Harbor Bond Adm.	C	Interest	L	T	Buy (add'l)	04/06/17	K		
30.					Buy (add'l)	05/18/17	J		
31.					Buy (add'l)	09/22/17	K		
32. Eaton Vance Atlanta Cop. (Floating Rate A)	B	Dividend	K	T	Sold (part)	02/10/17	J		
33. Double Line Total Rt Bond FDCLN	C	Dividend	M	T	Buy (add'l)	09/22/17	J		
34. Double Line Total Return Bond FDCL1	C	Dividend	M	T	Buy	06/07/17	M		

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. I Shares CORE S&P 500 Index	B	Dividend	L	T	Sold (part)	02/14/17	K	D	
36.					Sold (part)	04/10/17	K	C	
37.					Sold (part)	05/22/17	K	C	
38. I Shares INC Core MSCI Emerging Mkts	A	Dividend	K	T	Buy	02/14/17	K		
39.					Buy (add'l)	09/25/17	J		
40. I Shares Russell 1000 Value	B	Dividend	L	T					
41. I Shares S&P Mid-Cap 400 Growth	A	Dividend	K	T	Sold (part)	02/14/17	K	D	
42.					Sold (part)	04/10/17	J	B	
43.					Sold (part)	12/15/17	J	A	
44. I Shares CORE US Agg	D	Dividend	N	T	Buy (add'l)	02/14/17	L		
45.					Buy (add'l)	09/18/17	J		
46.					Buy (add'l)	09/25/17	K		
47. I Shares S&P 500 Value	A	Dividend	L	T	Sold (part)	12/15/17	J	A	
48. American Century Value Inv. Sh Class Conversion									
49. American Century Value Fund Class I	C	Dividend	K	T	Spinoff (from line 48)	11/20/17	K		
50. OakMark International Investor CL	B	Interest	L	T					
51. Wells Fargo Advtg Special Mid-Cap Sh Class Conversion									

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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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52. Wells Fargo Special Mid Cap CL1	B	Interest	K	T	Spinoff (from line 51)	10/20/17	K		
53. Harding Loevner Em. Mkt.	A	Dividend	K	T	Buy	02/10/17	K		
54.					Sold (part)	05/18/17	K	D	
55. Baird Aggregate Bond	C	Interest	L	T	Buy (add'l)	02/10/17	J		
56.					Sold (part)	08/16/17	M	C	
57. Harbor Bond Inst.	B	Interest	L	T	Sold (part)	04/06/17	K	A	
58. I Shares CORE S&P Small Cap	A	Dividend			Sold	05/22/17	K	C	
59. I Shares Trust CORE	B	Dividend	L	T	Buy (add'l)	02/14/17	K		
60.					Buy (add'l)	05/22/17	L		
61.					Sold (part)	09/25/17	L	D	
62. Vanguard Short Term	A	Dividend	L	T					
63. Vanguard Life	A	Dividend	K	T					
64. Fidelity Tax Free Bond	A	Dividend	L	T					
65. Fidelity Puritan	A	Dividend	K	T	Buy	04/04/17	K		
66. Glenmede Small Cap Equity	C	Dividend	K	T	Buy	04/06/17	K		
67.					Buy (add'l)	05/18/17	K		
68.					Sold (part)	12/14/17	J	B	

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69. Am. Funds Tax Adv. Growth	B	Dividend	L	T	Buy	01/06/17	K		
70. Hartford Intl Oppt Fd Class 1	C	Dividend	L	T	Buy	09/22/17	L		
71.					Sold (part)	12/14/17	J	B	
72. Columbia Cap. Alloc.	B	Dividend	L	T	Buy	09/23/17	K		
73. Columbia Income Builder	B	Dividend	K	T	Buy	09/25/17	K		
74. Pimco Income Fund	B	Dividend	L	T	Buy	06/26/17	K		
75. Wells Fargo Diversified Inc. Builder	C	Dividend	M	T	Buy	08/21/17	L		

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544