

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/31/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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. 2018	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. 2018	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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	C	Interest	O	T					
2. Capitol Federal - checking	A	Interest	J	T					
3. Capital One Nat'l Assn CD	A	Interest	K	T					
4. Compass Bank Birmingham, Ala CD	A	Interest			Redeemed	11/08/18	K		
5. Discover Bank CD (G48)	A	Interest			Redeemed	05/08/18	K		
6. Goldman Sachs Bank CD	A	Interest	K	T					
7. Capitol Federal CD	B	Interest	M	T	Buy	03/12/18	M		
8. JP Morgan Chase CD	A	Interest	K	T	Buy	11/28/18	K		
9. PNC Bank CD	A	Interest	K	T	Buy	11/28/18	K		
10. Wells Fargo Bank CD	A	Interest	K	T	Buy	12/20/18	K		
11. Farmers & Drovers CD	A	Interest	K	T	Buy	01/31/18	K		
12. Discover Bank CD (XH4)	A	Interest	K	T	Buy	11/27/18	K		
13. Fidelity Annuity (formerly Vanguard) Variable (H) Annuity									
14. Fidelity VIP High Income (X)	A	Dividend	L	T					
15. Fidelity VIP Overseas (X)	A	Dividend	K	T					
16. Templeton Global Bond (X)	A	Dividend	K	T					
17. Centerpoint Energy	B	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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 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 Total Bond	C	Dividend	M	T	Sold (part)	11/14/18	J	A	
19. Metro West Total Return	C	Dividend	M	T	Buy (add'l)	11/15/18	J		
20. Oakmark Fund (OAK MX)	C	Dividend	K	T					
21. USAA-Subscr. svgs.	A	Dividend	J	T					
22. I Shares S&P 500 Growth	B	Dividend	M	T	Buy (add'l)	01/12/18	K		
23.					Sold (part)	07/09/18	K	D	
24.					Sold (part)	07/15/18	J	B	
25. Fidelity Cash Reserves (Core Fund)	A	Interest	K	T					
26. Templeton Global Bond	B	Dividend	K	T	Buy (add'l)	07/06/18	K		
27.					Sold (part)	11/15/18	M	B	
28. Fidelity GNMA Fund	B	Dividend			Sold	03/18/18	L	B	
29. Harbor Bond Adm.	B	Interest	L	T	Buy (add'l)	11/15/18	J		
30. Eaton Vance Atlanta Cop. (Floating Rate A)	C	Dividend	L	T	Buy (add'l)	03/28/18	K		
31.					Sold (part)	11/15/18	K	A	
32. Double Line Total Rt Bond FDCLN (DLTNX)	D	Dividend	M	T	Buy (add'l)	11/14/18	J		
33.					Sold (part)	11/15/18	K	A	
34. Double Line Total Return Bond FDCL1 (DBLTX)	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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)

35. I Shares CORE S&P 500 Index	B	Dividend	K	T	Sold (part)	07/15/18	K	D	
36.					Sold (part)	11/16/18	J	B	
37. I Shares INC Core MSCI Emerging Mkts	A	Dividend	J	T	Sold (part)	01/12/18	K	B	
38. I Shares Russell 1000 Value	B	Dividend	K	T					
39. I Shares S&P Mid-Cap 400 Growth	A	Dividend	K	T	Buy (add'l)	07/09/18	K		
40. I Shares S&P Mid-Cap 400	A	Dividend	K	T	Buy	07/09/18	K		
41. I Shares Core S&P Small Cap	A	Dividend	J	T	Buy	01/04/18	K		
42. I Shares CORE US Agg	D	Dividend	N	T	Buy (add'l)	01/12/18	J		
43.					Buy (add'l)	07/09/18	K		
44.					Buy (add'l)	11/16/18	K		
45. I Shares S&P 500 Value	B	Dividend	K	T	Sold (part)	11/14/18	J	B	
46. American Century Value Fund Class 1	D	Dividend	L	T	Sold (part)	07/06/18	J	A	
47. OakMark International Investor CL	C	Interest	K	T					
48. Wells Fargo Special Mid Cap CL1	A	Interest	J	T	Sold (part)	07/08/18	L	D	
49. Harding Loevner Em. Mkt.	A	Dividend	K	T	Sold (part)	07/06/18	J	B	
50.					Buy (add'l)	11/15/18	J		
51. Baird Aggregate Bond	B	Interest	K	T	Buy (add'l)	07/06/18	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 7 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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)
52.					Buy (add'l)	10/15/18	J		
53. Harbor Bond Inst.	B	Interest	L	T					
54. I Shares Trust CORE	B	Dividend	L	T	Buy (add'l)	10/31/18	K		
55. Vanguard Short Term	B	Dividend	L	T					
56. Vanguard Life	B	Dividend	K	T					
57. Fidelity Tax Free Bond	A	Dividend			Redeemed	06/07/18	L		
58. Fidelity Puritan	B	Dividend	K	T					
59. Glenmede Small Cap Equity	B	Dividend			Sold (part)	07/06/18	K	A	
60.					Sold	10/30/18	L	A	
61. Am. Funds Tax Adv. Growth	B	Dividend	L	T					
62. Hartford Intl Oppt Fd Class 1	C	Dividend			Sold (part)	01/11/18	K	A	
63.					Sold (part)	07/06/18	J	A	
64.					Sold	10/30/18	K	A	
65. Columbia Cap. Alloc. (ABUAX)	C	Dividend	K	T					
66. Columbia Income Builder (RBBAX)	B	Dividend	K	T					
67. Pimco Income Fund	C	Dividend	L	T	Buy (add'l)	03/27/18	K		
68.					Sold (part)	11/14/18	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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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)
69. Wells Fargo Diversified Inc. Builder	D	Dividend	L	T	Sold (part)	11/14/18	J	A	
70. Perf. Trust (PTIAX)	B	Dividend	L	T	Buy	06/12/18	K		
71. Voya Sec. CRD (VCFAX)	A	Dividend	K	T	Buy	05/25/18	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Briscoe, Mary B.

Date of Report

07/31/2019

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