AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Briscoe, Mary B.	Tenth Circuit Court of Appeals	02/22/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Circuit Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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-presnt	Kansas Public Employees Retirement System (KPERS) - Judges' Retirement Program - vested
2.		
3.		

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	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.)*

	DATE	SOURCE AND TYPE
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Briscoe, Mary B.	02/22/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. American Funds Tax Advantage TAIFX	B	Dividend	L	T					
2. Baird Agg Bond Fund BAGSX	C	Dividend	M	T	Buy (add'l)	03/10/21	J		
3.					Buy (add'l)	08/11/21	J		
4.					Sold (part)	10/12/21	J	A	
5. BlackRock iShares Barclays Aggregate Bond Fund AGG	D	Dividend	N	T	Buy (add'l)	03/10/21	K		
6.					Sold (part)	04/09/21	K	A	
7.					Buy (add'l)	08/11/21	J		
8.					Sold (part)	10/12/21	L	B	
9.					Sold (part)	12/02/21	J	A	
10.					Buy (add'l)	12/02/21	J		
11.					Buy (add'l)	12/10/21	J		
12.					Sold (part)	12/13/21	J		
13. BlackRock iShares Russell 1000 Value ETF IWD	A	Dividend	L	T					
14. BlackRock iShares S&P 500 Growth Index IVW	A	Dividend	N	T	Sold (part)	03/10/21	K	E	
15.					Buy (add'l)	07/10/21	L		
16.					Sold (part)	08/11/21	J	E	
17. BlackRock iShares S&P 500 Value IVE	A	Dividend	L	T	Buy (add'l)	03/10/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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Briscoe, Mary B.	02/22/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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.					Buy (add'l)	04/09/21	K		
19.					Sold (part)	08/11/21	K	B	
20.					Sold (part)	08/11/21	J	B	
21.					Buy (add'l)	10/19/21	J		
22. BlackRock iShares S&P MidCap 400 Growth IJK	A	Dividend	K	T	Sold (part)	03/10/21	J	B	
23.					Buy (add'l)	08/11/21	J		
24.					Buy (add'l)	12/02/21	J		
25. BlackRock iShares S&P MidCap 400 Value ETF IJJ	A	Dividend	J	T	Buy	04/09/21	J		
26.					Sold (part)	07/10/21	J	A	
27. BlackRock iShares S&P 500 SmallCap 600 Index IJR	A	Dividend	K	T	Sold (part)	03/10/21	K	C	
28.					Buy (add'l)	04/09/21	J		
29.					Sold (part)	07/10/21	L	D	
30. BlackRock iShares TR/CORE MSCI EAFE ETF IEFA	A	Dividend	K	T	Buy	08/11/21	K		
31.					Buy (add'l)	10/19/21	J		
32.					Buy (add'l)	12/10/21	J		
33. BlackRock iShares Intl Aggregate Bond IAGG	B	Dividend	L	T	Buy (add'l)	04/09/21	K		
34.					Buy (add'l)	08/11/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.						Sold (part)	10/12/21	J	B	
36.	BlackRock iShares Trust CMBS ETF	B	Dividend	L	T					
37.	BlackRock iShares Core MSCI Emerging Markets ETF IEMG	A	Dividend			Sold (part)	03/10/21	K	C	
38.						Sold (part)	04/09/21	J	A	
39.						Sold (part)	04/09/21	J	B	
40.						Sold	09/20/21	K	C	
41.	BlackRock MidCap Growth CMGIX	A	Dividend	K	T					
42.	CenterPoint Energy common stock CNP	B	Dividend	L	T					
43.	Columbia Capital Allocation Moderate Porfolio ABUAX	D	Dividend	L	T	Sold (part)	12/23/21	J		
44.	Columbia Income Builder Fund RBBAX	B	Dividend	L	T					
45.	Dodge & Cox Income Fund DODIX	C	Dividend	M	T					
46.	DoubleLine Total Return Bond Fund Class N DLTNX	D	Dividend	N	T	Buy (add'l)	03/10/21	J		
47.						Buy (add'l)	08/11/21	J		
48.						Sold (part)	10/12/21	J		
49.						Sold (part)	12/23/21	J	A	
50.	Eaton Vance Floating Rate Advantage Fund Class A EAFAX	B	Dividend	L	T	Sold (part)	12/23/21	J		
51.	Fidelity Investment Grade Bond Fund FBNDX	B	Dividend	M	T	Buy (add'l)	01/22/21	L		

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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	
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52.						Buy (add'l)	09/08/21	L		
53.	Fidelity Low Priced Stock Fund FLPSX	B	Dividend	K	T					
54.	Fidelity Puritan FPURX	D	Dividend	L	T					
55.	Fidelity Total Bond Fund FTBFX	C	Dividend	M	T	Sold (part)	01/08/21	J	A	
56.						Sold (part)	12/23/21	J	A	
57.	Fidelity US Bond Index Fundd FXNAX	A	Dividend	L	T					
58.			None	M	T	Sold (part)	07/06/21	J		
59.	Fidelity VIP Overseas FEMMC		None	M	T	Buy (add'l)	08/11/21	J		
60.						Sold (part)	8/11/21	J	A	
61.	Harbor Bond Admin CL HABDX	B	Dividend	L	T					
62.	Harbor Small Cap Value HSVRX	A	Dividend	K	T					
63.	Harding Loevner Emerging Markets Portfolio Advisor Class HELMX		None			Sold	04/09/21	K	D	
64.	Harding Loevner Institutional Emerging Mkts HLMEX		None			Buy (add'l)	03/10/21	J		
65.						Sold (part)	08/11/21	J	B	
66.						Sold	09/20/21	J	B	
67.	Invesco Oppenheimer Rochester AMT-Free Muni OPTAX	B	Dividend	L	T	Buy	09/01/21	K		
68.	Lazard Retirement Emerging Markets Equity FPRLC		None			Sold	08/11/21	J		

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69.	Metropolitan West Total Return Bond Fund MWTRX	B	Dividend	M	T	Buy (add'l)	03/10/21	J		
70.						Buy (add'l)	08/11/21	J		
71.						Sold (part)	10/12/21	J		
72.	Oakmark International Advisor Fund OAYIX	A	Dividend	K	T	Sold (part)	04/09/21	J	B	
73.						Sold (part)	12/10/21	J	B	
74.	Performance Trust Strategic Bond Fund PTIAX	C	Dividend	L	T					
75.	PIMCO Income Fund Class A PONAX	D	Dividend	M	T	Sold (part)	01/08/21	J		
76.						Sold (part)	12/23/21	J		
77.	PIMCO Intl Bd (U.S. Dollar-hedged) I-3 PFONX	B	Dividend	L	T	Buy (add'l)	04/09/21	J		
78.						Buy (add'l)	04/09/21	J		
79.						Buy (add'l)	04/09/21	J		
80.						Sold (part)	10/12/21	J		
81.	PIMCO Total Return Fund CL I3 PTTNX	B	Dividend	K	T	Buy (add'l)	03/10/21	J		
82.						Sold (part)	10/12/21	J	A	
83.	PIMCO VIT Total Return FPOBC		None	K	T	Sold (part)	10/18/21	J		
84.	Principal Equity Income Stock Fund PEIIX	B	Dividend	M	T					
85.	The Hartford Intl Opportunity Fund IHOIX	C	Dividend	K	T	Sold (part)	12/10/21	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	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
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86. Vanguard Life Strategy VASIX	B	Dividend	L	T	Sold (part)	12/23/21	J	A	
87. Vanguard Short Term VFSTX	C	Dividend	M	T					
88. Voya Cr Fund VCFAX	B	Dividend	L	T					
89. Wells Fargo Diversified Income Builder Fund EKSAX	D	Dividend	M	T	Sold (part)	01/08/21	J	A	
90.					Buy (add'l)	08/26/21	K		
91.					Sold (part)	12/23/21	J	A	
92. Fidelity Core Accounts: cash reserve accounts	A	Interest	M	T					
93. Capitol Federal Savings Bank: cash accounts	B	Interest	O	T					
94. Farmers and Drovers Bank: cash accounts	A	Interest	L	T					

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

Part VII. Investments and Trusts, Line 87 -- Account should have been included in the 2020 report.

Principal Equity Income Fund PEIIX Amount Code: B Type: Dividend Value Code: M Value Method: T Type: Buy Date of Trade: 3/31/20 Value Code: M Gain Code: No Entry

Name of Person Reporting	Date 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