AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Kelly, Jr., Paul J.	U.S. Court of Appeals-10th Cir	05/22/2023
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**
U.S. Circuit Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2022	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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	2022 Notre Dame Annual Showcase Moot Court	2/24-26/2022	Notre Dame, Indiana	Judge final round of Comp.	Transportation, lodging and meals.
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Kelly, Jr., Paul J.	05/22/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. U.S. Bank, [redacted] (cash (equivalent)	A	Interest	M	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	Sold (part)	12/02/22	J	A	
7. Invesco	A	Dividend	J	T	Sold (part)	12/02/22	J	A	
8. American Euro Pacific Gr. Cl. F-2	A	Dividend	J	T	Buy	07/26/22	J		
9.					Sold (part)	10/11/22	J	A	
10. US Bancorp	A	Dividend	J	T					
11. Harbor Fund Cap App. Inst. Cl.	A	Dividend	J	T	Sold (part)	04/12/22	J	A	
12. Harbor Fund Small Cap	A	Dividend			Sold	04/12/22	J	A	
13. MFS Ser. Tr X Emerging Mkts	A	Dividend	J	T	Sold (part)	11/07/22	J	A	
14. Prinicipal Fds Inc Mid Cap	A	Dividend	J	T	Buy	10/11/22	J		
15. Principal Fds Inc H.Y. Inst. Cl.	A	Dividend	J	T					
16. Metropolitan West Fds Tot Return	A	Dividend	J	T	Buy	10/11/22	J		
17. Touchstone Div. Equity Fd. (FNA) (AIG Focused Div Strategy)	A	Dividend	M	T	Sold (part)	06/02/22	J	A	

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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18.	Invesco	A	Dividend	J	T	Sold (part)	04/13/22	J	A	
19.	AQR Managed Fut.Strat	A	Dividend	J	T					
20.	Blackrock Fds Global Long/Short Gr.Fd	A	Dividend	J	T					
21.	MFS Ser. Tr. 1 Val. Fd. Cl. 1	A	Dividend	J	T	Buy	10/11/22	J		
22.						Sold (part)	11/07/22	J		
23.	Meridian Fd Sml Cap Gr.	A	Dividend			Sold	04/12/22	J	A	
24.	Met. West Fd Total Ret	A	Dividend	J	T	Sold (part)	12/02/22	J		
25.	Prin Fds Global RE Sec	A	Dividend	J	T	Sold (part)	12/02/22	J		
26.	Nuveen Inv. Fd RE Sec. Fd Cl 1	A	Dividend	J	T					
27.	Fidelity 500 Index Fd.	A	Dividend	J	T	Sold (part)	10/11/22	J	A	
28.	Black Rock Global Long - Short	A	Dividend	J	T					
29.	Barid Fds Agg Bd. Fd.	A	Dividend	J	T	Sold (part)	12/02/22	J		
30.	Wells Fargo Money Market	B	Interest	L	T					
31.	45 Mainstay Winslow Lg Cap Growth	A	Dividend	K	T	Buy	04/12/22	J		
32.						Buy (add'l)	07/26/22	J		
33.						Buy (add'l)	10/11/22	J		
34.	American Beacon Fds - AHL Managed Futures Strategy Fd Yd	A	Dividend	J	T	Sold (part)	12/02/22	J	A	

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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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
35. Abbey Cap. Futures Strategy Fd Cls 1	A	Dividend	J	T	Sold (part)	12/02/22	J	A	
36. All Spring Special Mid Cap Value Fd	A	Dividend	J	T	Sold (part)	12/02/22	J	A	
37. Punco Fds Euro Pac. Clss F-2	A	Dividend	J	T					
38. Punco Fds Pac. Inv. Mgmt Total Ret.	A	Dividend	J	T					
39. Punco Commodity Real Ret. Strat. Fd.	A	Dividend	J	T	Buy	05/02/22	J		
40.					Sold (part)	07/26/22	J	A	
41. T. Rowe Price Overseas	A	Dividend	J	T	Buy	07/26/22	J		
42. Delaware Sm. Cap.	A	Dividend	K	T	Buy	04/12/22	J		
43.					Sold (part)	12/02/22	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 $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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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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