

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) BALDOCK, Bobby R.	2. Court or Organization U.S. Court of Appeals-10th Cir	3. Date of Report 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address P.O. Box 2388 Roswell, New Mexico 88202-2388		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1 (line 32)
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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. University of Arizona, The Federalist Society's Student Division	February 22-24, 2015	Tucson, Arizona	Speaker	Transportation, meals, lodging
2. Pepperdine University School of Law	March 11-13, 2015	Malibu, California	Speaker	Transportation, meals, lodging
3. The Blackstone Legal Fellowship	August 4-5, 2015	Tucson, Arizona	Speaker	Transportation, meals, lodging
4. Texas Tech University, The Federalist Society's Student Division	November 10, 2015	Lubbock, Texas	Speaker	Transportation, meals, lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Merrill Lynch IRA (H)	A	Dividend	M	T					
2. -XCEL (aka XCEL Energy Inc.)									
3. -Lord Abbett Total Return Fund CL A - See VIII									
4. -Franklin Equity Income - See VIII									
5. -Merrill Lynch Retirement Reserves - See VIII									
6. -Merrill Lynch Cash Equivalent Accounts									
7. -Transamerica Short Term Bond Fund					Sold (part)	02/12/15	K		
8.					Sold	12/22/15	K		
9. Hunker Commune (Holly, Bluestem, Rio Oil & Gas, COG Operating)	A	Royalty	J	W					
10. Lot in South Spring Acres, Roswell, NM		None	J	W					
11. Stock in South Spring Acres, Roswell, NM		None	K	W					
12. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
13. Silver and silver coins		None	J	T					
14. Gold coins		None	J	T					
15. Navajo, Hockley County, TX	B	Royalty	J	W					
16. Pioneer Savings Bank	A	Interest	M	T					
17. Working interest in Hodges - Hockley County, TX	A	Royalty	J	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 \$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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18. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
19. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
20. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
21. Working interest in White-Hockley County, TX	A	Royalty	J	T					
22. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					
23. Cash Value Life Insurance, AXA Equitable(Money Market Acct)	A	Interest	J	T					
24. Oil & Gas Items: (H)									
25. XTO Energy Production	A	Royalty	J	W					
26. BP Am Production Company	D	Royalty	K	W					
27. Conoco Phillips	E	Royalty	K	W					
28. Sunco Oil & Gas Production	A	Royalty	J	W					
29. Great Western Drilling Company	C	Royalty	K	W					
30. El Paso Production Company -(Finley Resources, Inc.)	C	Royalty	J	W					
31. Working interest in Mewbourne Oil, Eddy County, NM	B	Royalty	J	W					
32. Trust #1 (H)	A	Dividend	O	T					
33. -PIMA CNTY AZ STR & HWY REV					Redeemed	07/01/15	M		
34. - ISHARES MSCI EAFE					Buy	11/02/15	L		

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35. -ISHARES IBOXXS INVT GRADE CORP BD FUND					Buy (add'l)	07/09/15	J		
36.					Buy (add'l)	11/02/15	J		
37. -ISHARES GOLD TR					Buy	02/02/15	K		
38.					Sold	03/02/15	K		
39. - ISHARES MBS					Buy	07/09/15	J		
40.					Sold (part)	11/02/15	J		
41. -ISHARES IBOXXS HIGH YIEL CORPORATE BOND FUND					Buy (add'l)	07/09/15	J		
42.					Sold	11/02/15	J		
43. -ISHARES 1-3 YEAR TREAS BOND					Sold (part)	03/02/15	K		
44.					Sold (part)	05/01/15	K		
45.					Buy (add'l)	07/01/15	K		
46.					Buy (add'l)	07/09/15	J		
47.					Buy (add'l)	09/01/15	K		
48.					Sold	11/02/15	L		
49. -ISHARES 1-3 YEAR CREDIT BOND ETF					Sold (part)	02/02/15	K		
50.					Sold	03/02/15	L		
51. -ISHARES 3-7 YEAR TREASURY BOND ETF					Buy (add'l)	07/09/15	J		

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52.					Buy (add'l)	11/02/15	J		
53. -POWERSHARES GLOBAL EXCHANGE TRADED FD TR					Buy (add'l)	07/09/15	J		
54.					Sold (part)	11/02/15	J		
55. -VANGUARD MATERIALS ETF					Buy (add'l)	07/09/15	J		
56.					Sold (part)	09/01/15	J		
57.					Sold	10/01/15	J		
58. -VANGUARD TELECOMM SRVCS ETF					Buy	07/09/15	J		
59.					Sold (part)	09/01/15	J		
60.					Sold	10/01/15	J		
61. -VANGUARD INDUSTRIAL ETF					Sold	01/05/15	K		
62. -VANGUARD MSCI EMERGING MRKTS ETF- See VIII					Buy (add'l)	04/01/15	K		
63.					Buy (add'l)	07/09/15	J		
64.					Sold (part)	08/03/15	J		
65.					Sold	11/02/15	K		
66. -VANGUARD INTERMEDIATE TERM BOND ETF					Buy (add'l)	07/09/15	J		
67.					Buy (add'l)	11/02/15	J		
68. -VANGUARD SHORT TERM BOND					Buy (add'l)	04/01/15	J		

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69.					Sold (part)	05/01/15	L		
70.					Sold (part)	06/01/15	J		
71.					Buy (add'l)	07/09/15	J		
72.					Buy (add'l)	08/03/15	K		
73.					Buy (add'l)	09/01/15	K		
74.					Sold (part)	11/02/15	L		
75. -VANGUARD SMALL CAP VALUE					Buy	11/02/15	J		
76. -VANGUARD ENERGY ETF					Buy (add'l)	07/09/15	J		
77.					Sold (part)	09/01/15	J		
78.					Sold	10/01/15	J		
79. -VANGUARD UTILITIES					Buy (add'l)	07/09/15	J		
80.					Sold (part)	09/01/15	J		
81.					Sold	10/01/15	J		
82. -VANGUARD REIT ETF					Sold (part)	07/01/15	J		
83.					Buy (add'l)	07/09/15	J		
84.					Sold	11/02/15	J		
85. -VANGUARD SMALL CAP GROWTH ETF					Sold (part)	01/05/15	L		

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86.					Buy (add'l)	11/02/15	J		
87. -VANGUARD INFORMATION TECH ETF					Sold (part)	09/01/15	J		
88.					Sold	10/01/15	J		
89. -ELEMENTS - ROGERS TR					Buy	06/01/15	J		
90.					Buy (add'l)	07/09/15	J		
91.					Sold	11/02/15	J		
92. -ML BANK DEPOSIT PROGRAM									
93. -POWERSHARES PREFERRED PORTFOLIO					Buy	11/02/15	J		
94. -SCOTTSDALE ARIZ LT RF					Buy	07/08/15	L		
95. -VANGUARD SHORT-TERM GOV. BD					Buy	10/01/15	L		
96.					Sold	11/02/15	L		
97. -VANGUARD VALUE ETF					Buy	10/01/15	K		
98.					Buy (add'l)	11/02/15	M		
99. -VANGUARD GROWTH ETF					Buy	01/05/15	L		
100.					Buy (add'l)	07/09/15	J		
101.					Sold (part)	10/01/15	K		
102.					Buy (add'l)	11/02/15	M		

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103. -VANGUARD HEALTH CARE ETF					Buy	01/05/15	K		
104.					Buy (add'l)	07/09/15	J		
105.					Sold (part)	09/01/15	J		
106.					Sold	10/01/15	J		
107. -VANGUARD FTSE DEVELOPED MARKETS ETF					Buy	03/02/15	M		
108.					Sold (part)	04/01/15	L		
109.					Buy (add'l)	07/09/15	J		
110.					Sold (part)	10/01/15	K		
111.					Sold	11/02/15	K		
112. -SPDR BARCLAYS HIGH YIELD BOND ETF					Buy	11/02/15	J		
113. -SPDR GOLD TRUST					Buy	04/01/15	J		
114.					Buy (add'l)	07/09/15	J		
115.					Sold	11/02/15	J		
116. -MARKET VECTORS J.P. MORGAN EM LOCAL CURRENCY BOND ETF					Buy	11/02/15	J		
117. -ISHARES INC CORE MSCI EMERGING MKTS ETF					Buy	05/01/15	K		
118.					Sold (part)	07/01/15	K		
119.					Buy (add'l)	07/09/15	J		

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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 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)

120.					Sold (part)	08/03/15	J		
121.					Buy (add'l)	11/02/15	J		
122. -ISHARES TIPS BOND ETF					Buy	11/02/15	K		
123. -ISHARES TR CORE MSCI EAF ETF					Buy	05/01/15	L		
124.					Buy (add'l)	07/09/15	J		
125.					Sold (part)	09/01/15	K		
126.					Sold	10/01/15	K		
127. -ISHARES SHORT TREASURY BOND ETF					Buy	09/01/15	L		
128.					Buy (add'l)	10/01/15	K		
129.					Sold	11/02/15	L		

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

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Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

05/13/2016

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

Part VII, Page 4, line 3 - Also known as Lord Abbett (Mutual R Fund)

Part VII, Page 4, line 4 - Also known as Franklin Inves. Sec. TR Equity Income

Part VII, Page 4, line 5 - The primary depository institution is Bank of America, N.A.

Part VII, Page 7, line 62 - Also known as VANGUARD FTSE EMERGING MARKETS ETF

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

05/13/2016

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/ **Bobby R. BALDOCK**

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