

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) BALDOCK, Bobby R.	2. Court or Organization U.S. Court of Appeals-10th Cir	3. Date of Report 05/03/2018
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 01/01/2017 to 12/31/2017
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.)

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.	
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. The University of Arizona	March 2-4, 2017	Tucson, AZ	Received University of Arizona Alumni Association Public Service Award	Meals, hotel
2. Wm. Matthew Byrne, Jr., Judicial Clerkship Institute	March 15-17, 2017	Malibu, CA	Speaker	Transportation, meals, hotel
3. The Blackstone Legal Fellowship	August 1-3, 2017	Washington, DC	Speaker	Transportation, meals, hotel
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.)*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)									
2. -XCEL (aka XCEL Energy Inc.)	B	Dividend	L	T					
3. -Lord Abbett Total Return Fund CL A	B	Dividend	K	T					
4. -Merrill Lynch Retirement Reserves - See VIII	A	Dividend	K	T					
5. Hunker Commune (Holly, Bluestem, Rio Oil & Gas, COG Operating)	A	Royalty	J	W					
6. Lot in South Spring Acres, Roswell, NM		None	J	W					
7. Stock in South Spring Acres, Roswell, NM		None	K	W					
8. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
9. Silver and silver coins		None	J	T					
10. Gold coins		None	J	T					
11. Navajo, Hockley County, TX	A	Royalty	J	W					
12. Pioneer Savings Bank	A	Interest	M	T					
13. Working interest in Hodges - Hockley County, TX	A	Royalty	J	T					
14. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
15. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
16. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
17. Working interest in White-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 H = \$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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18. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					
19. Cash Value Life Insurance, AXA Equitable(Money Market Acct)	A	Interest	J	T					
20. Oil & Gas Items: (H)									
21. XTO Energy Production	A	Royalty	J	W					
22. BP Am Production Company	A	Royalty	K	W					
23. Conoco Phillips* - (now known as Hilcorp San Juan, L.P.) - See VIII	C	Royalty	K	W					
24. Sunco Oil & Gas Production	A	Royalty	J	W					
25. Great Western Drilling Company	A	Royalty	K	W					
26. El Paso Production Company -(Finley Resources, Inc.)	B	Royalty	J	W					
27. Working interest in Mewbourne Oil, Eddy County, NM	A	Royalty	J	W					
28. Merrill Lynch (H) - See VIII									
29. - ISHARES MSCI EAFE	A	Dividend	L	T	Buy (add'l)	01/23/17	K		
30.					Buy (add'l)	05/17/17	J		
31. -ISHARES IBOXXS INVT GRADE CORP BD FUND	A	Dividend	K	T	Buy (add'l)	01/24/17	J		
32. - ISHARES MBS	A	Dividend	L	T	Buy (add'l)	01/24/17	K		
33.					Buy (add'l)	05/17/17	J		
34. -ISHARES IBOXXS HIGH YIEL CORPORATE BOND FUND	A	Dividend	J	T	Buy (add'l)	01/24/17	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35. -ISHARES 3-7 YEAR TREASURY BOND ETF	A	Dividend	K	T					
36. -POWERSHARES EM SOVEREIGN BOND-See VIII	A	Dividend	K	T	Buy (add'l)	01/24/17	J		
37. -VANGUARD INTERMEDIATE TERM BOND ETF	A	Dividend	L	T	Buy (add'l)	01/23/17	J		
38.					Buy (add'l)	05/17/17	J		
39. -VANGUARD SHORT TERM BOND	A	Dividend	L	T	Buy (add'l)	01/23/17	K		
40.					Buy (add'l)	05/17/17	J		
41. -VANGUARD SMALL CAP VALUE	A	Dividend	J	T	Sold (part)	01/24/17	J	A	
42.					Sold (part)	05/17/17	J	A	
43. -VANGUARD SMALL CAP GROWTH ETF	A	Dividend	J	T	Buy (add'l)	01/24/17	J		
44.					Sold (part)	05/17/17	J	A	
45. -ML BANK DEPOSIT PROGRAM	A	Interest	K	T	Distributed (part)	12/31/17	K		
46. -POWERSHARES PREFERRED PORTFOLIO	A	Dividend	J	T	Buy (add'l)	01/24/17	J		
47. -VANGUARD VALUE ETF	A	Dividend	M	T	Sold (part)	01/24/17	K	B	
48.					Sold (part)	05/17/17	J	A	
49. -VANGUARD GROWTH ETF	A	Dividend	L	T	Sold (part)	01/24/17	K	B	
50.					Sold (part)	05/17/17	J	A	
51. -VANECK VECTORS JP MORGAN EM - See VIII	A	Dividend	J	T	Buy (add'l)	01/23/17	J		

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52. -ISHARES INC CORE MSCI EMERGING MKTS ETF	A	Dividend	J	T	Buy (add'l)	01/24/17	J		
53.					Buy (add'l)	01/24/17	J		
54. -ISHARES TIPS BOND ETF	A	Dividend	K	T	Sold (part)	01/24/17	J	A	
55. ALLSTATE ANNUITY - FIXED	F	Distribution	M	T	Distributed (part)	03/13/17	L		

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

Part VII, Page 5, line 23, Hilcorp San Juan, L.P. acquired ConocoPhillips' interest July 2017. ConocoPhillips will not be listed in 2018.

Part VII, Page 5, line 28 - Previously listed as "Trust #1 (H)". Trust assets distributed last year. Will now be listed as "Merrill Lynch (H)".

Part VII, Page 6, Line 51 - Now called Vaneck Vectors JP Morgan EM. ("Market Vectors J.P.Morgan EM Local Currency Bond ETF" merged with "Vaneck Vectors JP Morgan EM" on May 2, 2016 as noted on Page 9, line 95 of 2016 Financial Disclosure 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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544