

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) BABCOCK, LEWIS T.	2. Court or Organization U.S. DISTRICT COURT - COLORADO	3. Date of Report 03/30/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address 1929 STOUT STREET, C450 DENVER, CO 80294		
IMPORTANT NOTES: <i>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>		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Self-employed artist
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.				

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Double Eagle Petroleum Mining Co (Com.) kna Escalera Resources		None	J	T					
2. Prime Energy Corp (Com) fka KRM Petrleum Corp		None	J	T					
3. jhi, Inc. (Com)		None	J	T					
4. Colorado Public Employees Retirement Association		None	M	T					
5. Brokeridge Account #1 (IRA)									
6. a) AIM Charter Fund C/A n/k/a American Funds	A	Dividend	J	T	Distributed (part)	12/01/19	J	B	
7. c) Hartford Fund C1 B	A	Dividend	J	T	Distributed (part)	12/01/19	J	B	
8. Brokeridge Account #2 (IRA)									
9. a) AIM Charter Fund C/B n/k/a American Fund	A	Dividend	K	T	Distributed (part)	10/01/19	J	B	
10. Brokeridge Account #2									
11. a) Citibank n/k/a BDP, MMFs	A	Interest	K	T					
12. b) AT&T Inc	A	Dividend	K	T					
13. c)(i) Pfizer, Inc.	A	Dividend	K	T					
14. d) Alcate10Lucent ADR n/k/a Nokia CPADR		None	J	T					
15. e) Viacom B (Com) now Viacom CBS C1B	A	Dividend	J	T					
16. h) Comcast Corp (Com)	A	Dividend	K	T					
17. i) AIM Premier Equity Fund Class AakaInvesco Van Kapen n/k/a Am Funds	A	Dividend	L	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	

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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		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)
18. j) Capital World Growth & Income B (CWGIx)	A	Dividend	K	T					
19. k) AIM Equity Fund Class A kna Invesco Charter Funds	A	Dividend	K	T					
20. AIM Invesco Growth Fund VAFAX n/k/a Invesco Am Franchise fund	A	Dividend	K	T					
21. AIM Invesco Diversified Div Fund NKA	A	Dividend	L	T					
22. AIM Invesco Free Bond Fund nka Invesco Municipal Income	C	Int./Div.	M	T					
23. Valic (IRA) nka AIG Retirement	A	Interest	K	T	Distributed (part)	11/20/19	J	A	
24. Waddell & Reed Tot. Ret. Fund (IRA)	A	Dividend	J	T	Distributed (part)	12/31/19	J	B	
25. U.S. Consolidated Federal Credit Union nka ENT									
26. a) CD	A	Interest	J	T					
27. b) Account #1	A	Interest	J	T					
28. USBancorp Account #1	A	Interest	J	T					
29. USBancorp Account #2	A	Interest	J	T					
30. Lot Riverside County, Calif (Line 20, 2000 Report)		None	J	W					
31. .333 Int in Sec 15, TWP 10 S, Rng. 14E, SBBAM, Imperial, CA		None	M	W					
32. Brokeridge Account #1 (IRA)									
33. a) American Capital World Growth Income B	A	Dividend	L	T	Distributed (part)	10/15/19	J	A	
34. b) American Capital Income Building Fund B	A	Dividend	K	T	Distributed (part)	10/15/19	J	A	

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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	
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35. Brokeridge Account #2									
36. American Funds IICA kna American Inv Co America kna Am Cup Builder	A	Dividend	K	T					
37. Brokeridge Account #3 CBS - See Line #15									
38. a)Apple Inc.	A	Dividend	K	T					
39. b) Bristol Myers	A	Dividend	J	T					
40. c) Verizon	A	Dividend	J	T					
41. d) Alerian (AMPL)	A	Dividend	J	T					
42. CBS - See Line #15									
43. Waddell & Reed/IVY Investments are one in the same - Core equity	A	Dividend	J		Distributed (part)	12/01/19	J	B	

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
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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.)*

Lines 15, 37, and 42 - Viacom merged with CBS

Lines 43, 44, and 45 in Section VII. Investments and Trusts.

Line 43 and 44 are now combined as they are one in the same IRA required minimum distribution.

Line 45 - Boulder Valley School District was included in error and has been removed.

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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/ **LEWIS T. BABCOCK**

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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