

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) Baldock, Bobby R.	2. Court or Organization United States Court of Appeals for the Tenth Circuit	3. Date of Report 07/07/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States Courthouse 500 North Richardson Ave. Roswell, NM 88201		
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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Name of Person Reporting

Baldock, Bobby R.

Date of Report

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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.	
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.)

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.		

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. Individual Assets (H)									
2. Pioneer Savings Bank (cash)	A	Interest	M	T					
3. Silver and silver coins		None	J	T					
4. Gold coins		None	J	T					
5. Lot in South Spring Acres, Roswell, NM		None	J	W					
6. Stock in South Spring Acres, Roswell, NM		None	K	W					
7. IRA #1 (H)									
8. Bank of America, N.A. (cash)	A	Interest	J	T					
9. XCEL Energy Inc. (XEL)	C	Dividend	L	T					
10. Lord Abbett Total Return Fund CL A (LTRAX)	A	Dividend	K	T					
11. Brokerage Account #1 (H)									
12. ML BANK DEPOSIT PROGRAM (cash)	A	Interest	J	T					
13. BLACKROCK LIQUIDITY FUND T FUND INSTL CL (TSTXX)	A	Dividend	J	T	Buy	08/15/19	J		
14. INVESCO EMERGING MKTS SOV DEBT (PCY)	A	Dividend	K	T	Buy	01/11/19	J		
15. INVESCO PREFERRED ETF (PGX)	A	Dividend	J	T	Buy	01/11/19	J		
16. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T	Buy	01/11/19	J		
17. ISHARES CORE US AGGREGATE BOND ETF (AGG)		None			Sold	01/11/19	M	B	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
18. ISHARES CORE S&P TOTAL US STOCK MKT ETF (ITOT)	A	Dividend			Sold	01/11/19	L		
19. ISHARES 3-7 YEAR TREASURY BOND ETF (IEI)	A	Dividend	K	T	Buy (add'l)	01/11/19	K		
20. ISHARES MBS (MBB)	B	Dividend	L	T	Buy (add'l)	01/11/19	K		
21.					Buy (add'l)	01/16/19	J		
22.					Buy (add'l)	06/13/19	J		
23. ISHARES IBOXX\$ INVT GRADE CORP BD (LQD)		None			Buy	01/11/19	K		
24.					Sold	01/16/19	K	A	
25. ISHARES IBOXX\$ HIGH YIELD CORP BOND (HYG)	A	Dividend	J	T	Buy	01/11/19	K		
26. ISHARES MSCI ACWI EX US ETF (ACWX)	A	Dividend			Sold	01/11/19	K	A	
27. ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	A	Dividend	J	T	Buy (add'l)	01/16/19	J		
28.					Sold (part)	06/13/19	J	A	
29. ISHARES TR CORE MSCI EAFE (IEFA)	A	Dividend	K	T	Buy	01/11/19	K		
30.					Sold (part)	01/16/19	J	A	
31.					Sold (part)	06/13/19	J	A	
32. VANECK VECTORS J.P (EMLC)	A	Dividend	J	T	Buy	01/11/19	J		
33. VANGUARD SMALL CAP VALUE (VBR)	A	Dividend	J	T	Buy (add'l)	01/11/19	J		
34.					Sold (part)	01/16/19	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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Name of Person Reporting

Baldock, Bobby R.

Date of Report

07/07/2020

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)
35. VANGUARD SMALL CAP GROWTH (VBK)	A	Dividend	J	T	Buy (add'l)	01/11/19	J		
36.					Sold (part)	01/16/19	J	A	
37. VANGUARD VALUE ETF (VTV)	B	Dividend	L	T	Buy (add'l)	01/11/19	J		
38.					Buy (add'l)	01/16/19	J		
39.					Sold (part)	06/13/19	J	A	
40. VANGUARD GROWTH ETF (VUG)	A	Dividend	L	T	Buy (add'l)	01/16/19	J		
41.					Buy (add'l)	06/13/19	J		
42. VANGUARD INTERMEDIATE TERM BOND ETF (BIV)	B	Dividend	K	T	Buy	01/11/19	K		
43.					Sold (part)	01/16/19	J		
44. VANGUARD SHORT TERM BOND (BSV)		None			Buy (add'l)	01/11/19	K		
45.					Sold	01/16/19	K	A	
46. VANGUARD SHORT TERM CORP BOND (VCSH)	B	Dividend	K	T	Buy	01/16/19	K		
47.					Buy (add'l)	06/13/19	J		
48. VANGUARD INTERMEDIATE CORP BOND (VCIT)	A	Dividend	J	T	Buy	01/16/19	J		
49. VANGUARD TOTAL INTERNATIONAL (BNDX)	A	Dividend	K	T	Buy	01/16/19	K		
50. XTRACKERS USD HIGH YIELD (HYLB)	A	Dividend	J	T	Buy	01/16/19	J		
51. ANNUITY #1 (H)									

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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	(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)
52. ALLSTATE CHOICE RATE FIXED ANNUITY		None	L	T					
53. Oil & Gas Items: (H)									
54. XTO Energy Production	A	Royalty	J	W					
55. BP Am Production Company	A	Royalty	K	W					
56. Hilcorp San Juan, L.P.	C	Royalty	K	W					
57. Sunco Oil & Gas Production	A	Royalty	J	W					
58. Great Western Drilling Company	A	Royalty	K	W					
59. El Paso Production Company - (Finley Resources, Inc.)	A	Royalty	J	W					
60. Working interest in Mewbourne Oil, Eddy County, NM	A	Royalty	J	W					
61. Hunker Commune (Holly, Bluestem, Rio Oil & Gas, COG Operating)	A	Royalty	J	W					
62. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
63. Navajo, Hockley County, TX	A	Royalty	J	W					
64. Working interest in Hodges - Hockley County, TX	A	Royalty	J	T					
65. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
66. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
67. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
68. 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 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	
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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				
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	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)
69. Working interest in Terry-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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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