

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) BABCOCK, LEWIS T.	2. Court or Organization U.S. DISTRICT COURT - COLORADO	3. Date of Report 04/20/2016
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 1929 STOUT STREET, C450 DENVER, CO 80294		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2015

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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. Double Eagle Petroleum Mining Co (Com.) kna Escalera Resources		None	J	T					
2. Prime Energy Corp (Com) fka KRM Petroleum 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)	10/09/15	J	B	
7. b) Hartford Fund C1 B	A	Dividend	J	T	Distributed (part)	10/09/15	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)	10/09/15	J	B	
10. Brokerage Account #2									
11. a) AIM Equity Fund Class A n/k/a Invesco Charter Funds	A	Dividend	J	T					
12. Brokeridge Account #3									
13. a) Citibank n/k/a BDP, MMFs	A	Interest	K	T					
14. b) AT&T Inc	A	Dividend	K	T	Buy	09/28/15	J		
15. c)(i) Pfizer, Inc.	A	Dividend	K	T	Buy	08/28/15	J		
16. d) Alcate10Lucent ADR		None	J	T					
17. e) Viacom B (Com)	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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)
18. f) GNMA (12/86)	A	Interest	J	T					
19. g) LSI Corp									
20. h) Comcast Corp (Com)	A	Dividend	K	T					
21. i) AIM Premier Equity Fund Class AakalInvesco Van Kapen n/k/a Am Funds	A	Dividend	K	T					
22. j) Capital World Growth & Income B (CWGIx)	A	Dividend	K	T					
23. AIM Invesco Growth Fund VAFAX	A	Dividend	K	T					
24. AIM Invesco Diversified Div Fund NKA	A	Dividend	K	T					
25. AIM Invesco Free Bond Fund nka Invesco Municipal Income	C	Int./Div.	M	T					
26. Valic (IRA) nka AIG Retirement	A	Interest	K	T	Distributed (part)	11/20/15	J	A	
27. Waddell & Reed Tot. Ret. Fund (IRA)	A	Dividend	J	T	Distributed (part)	12/31/15	J	B	
28. U.S. Consolidated Federal Credit Union nka ENT									
29. a) CD	A	Interest	J	T					
30. b) Account #1	A	Interest	J	T					
31. US Bancorp Account #1	A	Interest	J	T					
32. US Bancorp Account #2	A	Interest	J	T					
33. Lot Riverside County, Calif (Line 20, 2000 Report)		None	J	W					
34. .333 Int in Sec 15, TWP 10 S, Rng. 14E, SBBAM, Imperial, CA	B	Rent	M	W					

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

Page 6 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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)

35. Brokeridge Account #1 (IRA)									
36. a) Capital World Growth Income B	A	Dividend	K	T	Distributed (part)	10/15/15	J	A	
37. b) Capital Income Building Fund B	A	Dividend	K	T	Distributed (part)	10/15/15	J	A	
38. Brokeridge Account #3									
39. American Funds IICA	A	Dividend	K	T					
40. Legg Mason Value Trust, Inc. n/k/a Clearbridge					Sold	08/03/14	J	A	
41. Brokeridge Account #3 CBS	A	Dividend	K	T					
42. a) Apple Inc.	A	Dividend	K	T	Buy	08/28/15	K		
43. b) Bristol Myers	A	Dividend	J	T	Buy	08/28/15	J		
44. c) Verizon	A	Dividend	J	T	Buy	08/28/15	J		
45. d) Alerian (AMPL)	A	Dividend	J	T	Buy	08/28/15	J		

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

Page 7 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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

VII. Investments and Trusts

Line Number 19 LSI, Corp - this was acquired on 3/13/01 for \$439.77 and was sold 5/6/14 for \$129.57 - all reports prior to this date should be amended to show this information

Line Number 40 Amend 2015 to reflect sale August 2014

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

BABCOCK, LEWIS T.

Date of Report

04/20/2016

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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544