

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/11/2015
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 01/01/2014 to 12/31/2014
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 31)
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

05/11/2015

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. Pepperdine University School of Law	March 12-14, 2014	Malibu, California	Speaker	Transportation, meals, lodging
2. University of Oklahoma College of Law	April 10-12, 2014	Norman, Oklahoma	Moot Court Competition Panel	Transportation, meals, lodging
3. Alliance Defense Fund - The Blackstone Legal Fellowship	August 5-7, 2014	Phoenix, Arizona	Legal Fellowship - Speaker	Transportation, meals, lodging
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

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05/11/2015

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 10

Name of Person Reporting

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05/11/2015

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	C	Dividend	M	T					
2. -XCEL (aka XCEL Energy Inc.) - See Part VIII									
3. -Lord Abbett (Mutual R Fund) (aka Lord Abbett Total Return Fund)									
4. -Franklin Inves. Sec. TR Equity Income (Mutual Fund)									
5. -Merrill Lynch Retirement Reserves									
6. -Merrill Lynch Cash Equivalent Accounts									
7. -Transamerica Short Term Bond Fund									
8. Hunker Commune (Holly, Bluestem, Rio Oil & Gas, COG Operating)See VIII	A	Royalty	J	W					
9. Lot in South Spring Acres, Roswell, NM		None	J	W					
10. Stock in South Spring Acres, Roswell, NM		None	K	W					
11. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
12. Silver and silver coins		None	J	T					
13. Gold coins		None	J	T					
14. Navajo, Hockley County, TX	B	Royalty	J	W					
15. Pioneer Savings Bank	A	Interest	M	T					
16. Working interest in Hodges - Hockley County, TX	A	Royalty	J	T					
17. Working interest in Jeffers-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	
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 10

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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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18. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
19. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
20. Working interest in White-Hockley County, TX	A	Royalty	J	T					
21. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					
22. Cash Value Life Insurance, AXA Equitable(Money Market Acct)	A	Interest	J	T					
23. Oil & Gas Items:									
24. XTO Energy Production	A	Royalty	J	W					
25. BP Am Production Company	D	Royalty	K	W					
26. Conoco Phillips	E	Royalty	K	W					
27. Sunco Oil & Gas Production	A	Royalty	J	W					
28. Great Western Drilling Company	C	Royalty	K	W					
29. El Paso Production Company -(Finley Resources, Inc.) - See Part VIII	C	Royalty	J	W					
30. Working interest in Mewbourne Oil, Eddy County, NM-See Part VIII	B	Royalty	J	W					
31. Trust #1	E	Dividend	O	T					
32. -PIMA CNTY AZ STR & HWY REV									
33. - ISHARES MSCI EAFE - See Part VIII					Sold (part)	10/01/14	L		
34.					Sold	11/03/14	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

Page 6 of 10

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35. -ISHARES IBOXXS INVT GRADE CORP BD FUND									
36. -ISHARES GOLD TR					Buy (add'l)	03/03/14	J		
37.					Sold (part)	04/01/14	J		
38.					Buy (add'l)	07/01/14	J		
39.					Sold (part)	10/01/14	J		
40.					Sold	12/04/14	J		
41. - ISHARES MBS - See Part VIII									
42. -ISHARES IBOXXS HIGH YIEL CORPORATE BOND FUND									
43. -ISHARES 1-3 YEAR TREAS BOND - See Part VIII					Sold (part)	04/01/14	K		
44.					Buy (add'l)	08/01/14	J		
45.					Sold (part)	10/01/14	J		
46.					Buy (add'l)	12/04/14	K		
47. -ISHARES 1-3 YEAR CREDIT BOND ETF					Buy	11/03/14	K		
48.					Buy (add'l)	12/04/14	K		
49. -ISHARES 3-7 YEAR TREASURY BOND ETF					Buy	10/01/14	K		
50. -POWERSHARES GLOBAL EXCHANGE TRADED FD TR					Buy	10/01/14	J		
51. -VANGUARD FINANCIALS ETF					Sold	01/03/14	K		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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52. -VANGUARD CONSUMER STAPLES					Sold	01/03/14	K		
53. -VANGUARD MATERIALS ETF					Buy (add'l)	01/03/14	K		
54. -VANGUARD TELECOMM SRVCS ETF					Buy	01/03/14	K		
55. -VANGUARD INDUSTRIAL ETF									
56. -VANGUARD MSCI EMERGING MRKTS ETF					Buy (add'l)	01/03/14	J		
57.					Sold (part)	02/03/14	K		
58.					Buy (add'l)	04/01/14	K		
59.					Sold (part)	10/01/14	K		
60.					Buy (add'l)	11/03/14	K		
61.					Sold (part)	12/04/14	L		
62. -VANGUARD INTERMEDIATE TERM BOND ETF									
63. -VANGUARD SHORT TERM BOND					Buy (add'l)	02/03/14	K		
64.					Sold (part)	03/03/14	J		
65.					Sold (part)	04/01/14	J		
66.					Sold (part)	07/01/14	J		
67.					Buy (add'l)	10/01/14	L		
68. -VANGUARD SMALL CAP VALUE					Sold	01/03/14	L		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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69. -VANGUARD CONSUMER DISCRETIONARY					Sold	01/03/14	K		
70. -VANGUARD ENERGY ETF									
71. -VANGUARD UTILITIES									
72. -VANGUARD REIT ETF					Buy (add'l)	03/03/14	J		
73. -VANGUARD SMALL CAP GROWTH ETF					Buy	01/03/14	L		
74. -VANGUARD INFORMATION TECH ETF					Buy	01/03/14	K		
75. -ELEMENTS - ROGERS TR					Buy (add'l)	03/03/14	J		
76.					Sold (part)	08/01/14	J		
77.					Sold	11/03/14	J		
78. -ML BANK DEPOSIT PROGRAM									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

BALDOCK, Bobby R.

Date of Report

05/11/2015

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

Part VII, Page 4, line 2 - Also known as XCEL Energy Inc

Part VII, Page 4, line 8 - COG Operating LLC (aka Concho) purchased certain properties from Bluestem Energy

Part VII, Page 5, line 29 - Finley Resources, Inc. purchased certain properties from El Paso Production Company

Part VII, Page 5, line 30- Added "e" to Mewbourne Oil

Part VII, Page 5, line 33 - Also known as ISHARES MSCI EAFE INDEX FUND

Part VII, Page 6, line 41 - Also known as ISHARES BARCLAYS MBS BON FUND

Part VII, Page 6, line 43 - This asset was formerly known as ISHARES BARCLAYS 1-3 YEAR TREAS INDEX FUND

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

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BALDOCK, Bobby R.

Date of 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