

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/04/2019
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 01/01/2018 to 12/31/2018
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 Blackstone Legal Fellowship	July 31-August 1, 2018	Washington, DC	Speaker	Travel, lodging, and meals
2. Arizona Christian University	November 7-8, 2018	Phoenix, AZ	Speaker	Lodging
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Pioneer Savings Bank	A	Interest	M	T					
2. Silver and silver coins		None	J	T					
3. Gold coins		None	J	T					
4. Lot in South Spring Acres, Roswell, NM		None	J	W					
5. Stock in South Spring Acres, Roswell, NM		None	K	W					
6. Cash Value Life Insurance, AXA Equitable (Money Market Acct) (Y)									
7. IRA #1 (H)									
8. Bank of America, N.A. (formerly Merrill Lynch Ret. Reserves) (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	Sold (part)	01/11/18	K		
11. Brokerage Account #1 (H)									
12. ML BANK DEPOSIT PROGRAM	A	Int./Div.	K	T					
13. ISHARES CORE US AGGREGATE BOND ETF (AGG)	A	Dividend	M	T	Buy	12/11/18	M		
14. ISHARES CORE S&P TOTAL US STOCK MKT ETF (ITOT)	A	Dividend	L	T	Buy	12/11/18	L		
15. INVESCO EMERG MKTS SOV DEBT ETF (PCY)	A	Dividend			Buy	06/04/18	K		
16.					Sold (part)	06/20/18	J		
17.					Sold (part)	12/06/18	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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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 I (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.					Sold	12/11/18	J		
19. INVESCO PREFERRED ETF (PGX)	A	Dividend			Buy	06/04/18	J		
20.					Sold (part)	12/06/18	J		
21.					Sold	12/11/18	J		
22. ISHARES MSCI EAFE (EFA)		None			Sold	01/30/18	L	E	
23. ISHARES IBOXX\$ INVT GRADE CORP BD FUND (LQD)	B	Dividend			Buy (add'l)	01/31/18	J		
24.					Buy (add'l)	06/21/18	K		
25.					Sold (part)	12/06/18	K		
26.					Sold	12/11/18	K		
27. ISHARES TIPS BOND ETF (TIP)	A	Dividend			Buy (add'l)	01/31/18	J		
28.					Sold (part)	12/06/18	J		
29.					Sold	12/11/18	J		
30. ISHARES 3-7 YEAR TREASURY BOND ETF (IEI)	A	Dividend	J	T	Buy (add'l)	01/31/18	J		
31.					Sold (part)	03/28/18	J		
32.					Sold (part)	12/06/18	K		
33.					Sold (part)	12/11/18	K		
34. ISHARES MBS (MBB)	B	Dividend	J	T	Buy (add'l)	01/30/18	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 = \$5,000,001 - \$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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☐ 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.					Sold (part)	03/28/18	J		
36.					Buy (add'l)	06/21/18	J		
37.					Sold (part)	12/06/18	K		
38.					Sold (part)	12/11/18	K		
39. ISHARES MSCI ACWI EX US ETF (ACWX)	A	Dividend	K	T	Buy	12/11/18	K		
40. ISHARES IBOX\$ HIGH YIEL CORPORATE BOND FUND (HYG)	A	Dividend			Buy (add'l)	01/18/18	J		
41.					Sold (part)	12/06/18	J		
42.					Sold	12/11/18	J		
43. ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	A	Dividend	K	T	Sold (part)	01/30/18	J	B	
44.					Buy (add'l)	06/21/18	J		
45.					Sold (part)	12/06/18	J		
46. ISHARES TR CORE MSCI EAF ETF (IEFA)	B	Dividend			Buy	01/30/18	L		
47.					Buy (add'l)	03/28/18	J		
48.					Sold (part)	06/20/18	J		
49.					Sold (part)	12/06/18	K		
50.					Sold	12/11/18	K		
51. POWERSHARES EM SOVEREIGN BOND (PCY)	A	Dividend			Buy (add'l)	01/31/18	J		

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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	
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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52.					Sold	06/04/18	K		
53. POWERSHARES PREFERRED PORTFOLIO (PGX)	A	Dividend			Buy (add'l)	01/31/18	J		
54.					Sold	06/04/18	J		
55. VANECK VECTORS JP MORGAN EM (EMLC)	A	Dividend			Sold (part)	06/20/18	J		
56.					Sold	12/11/18	J		
57. VANGUARD SMALL CAP VALUE (VBR)	A	Dividend	J	T	Buy (add'l)	01/31/18	J		
58.					Sold (part)	03/28/18	J	B	
59.					Sold (part)	06/21/18	J	A	
60.					Sold (part)	12/06/18	J		
61.					Sold (part)	12/11/18	J		
62. VANGUARD SMALL CAP GROWTH ETF (VBK)	A	Dividend	J	T	Buy (add'l)	01/31/18	J		
63.					Buy (add'l)	06/21/18	J		
64.					Sold (part)	12/06/18	J		
65.					Sold (part)	12/11/18	J		
66. VANGUARD VALUE ETF (VTV)	B	Dividend	L	T	Sold (part)	01/31/18	K	C	
67.					Buy (add'l)	03/28/18	J		
68.					Sold (part)	06/21/18	J	A	

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69.					Sold (part)	12/06/18	K	D	
70. VANGUARD GROWTH ETF (VUG)	A	Dividend	K	T	Sold (part)	01/31/18	K	C	
71.					Buy (add'l)	03/28/18	J		
72.					Buy (add'l)	06/21/18	J		
73.					Sold (part)	12/06/18	K	C	
74. VANGUARD INTERMEDIATE TERM BOND ETF (BIV)	B	Dividend			Buy (add'l)	01/31/18	J		
75.					Sold (part)	03/28/18	J		
76.					Sold (part)	06/21/18	J		
77.					Sold (part)	12/06/18	K		
78.					Sold	12/11/18	K		
79. VANGUARD SHORT TERM BOND (BSV)	B	Dividend	K	T	Buy (add'l)	01/31/18	J		
80.					Sold (part)	03/28/18	J		
81.					Buy (add'l)	06/21/18	J		
82.					Sold (part)	12/06/18	K		
83.					Sold (part)	12/11/18	K		
84. ANNUITY #1 (H)									
85. ALLSTATE ANNUITY - FIXED		None	M	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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86. Oil & Gas Items: (H)									
87. XTO Energy Production	A	Royalty	J	W					
88. BP Am Production Company	A	Royalty	K	W					
89. Hilcorp San Juan, L.P.	C	Royalty	K	W					
90. Sunco Oil & Gas Production	A	Royalty	J	W					
91. Great Western Drilling Company	A	Royalty	K	W					
92. El Paso Production Company - (Finley Resources, Inc.)	B	Royalty	J	W					
93. Working interest in Mewbourne Oil, Eddy County, NM	A	Royalty	J	W					
94. Hunker Commune (Holly, Bluestem, Rio Oil & Gas, COG Operating)	A	Royalty	J	W					
95. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
96. Navajo, Hockley County, TX	A	Royalty	J	W					
97. Working interest in Hodges - Hockley County, TX	A	Royalty	J	T					
98. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
99. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
100. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
101. Working interest in White-Hockley County, TX	A	Royalty	J	T					
102. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					

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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