

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/08/2014
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 01/01/2013 to 12/31/2013
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
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.		

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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. Pepperdine University School
of Law

March 13-15, 2013

Malibu, California

Speaker

Transportation, meals, lodging

2. Alliance Defense Fund - The
Blackstone Legal Fellowship

August 6-7, 2013

Phoenix, Arizona

Legal Fellowship - Speaker

Transportation, meals, 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.	Pioneer Savings	Rental Property #2, Chaves County, NM	None
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. Merrill Lynch IRA	C	Dividend	M	T					
2. -XCEL									
3. -Invesco Global Core Equity Fund					Sold	03/18/13	K		
4. -Invesco Comstock Fund					Sold	03/18/13	K		
5. -Lord Abbett (Mutual R Fund) (aka Lord Abbett Total Return Fund)									
6. -Franklin Inves. Sec. TR Equity Income (Mutual Fund)*					Sold (part)	03/18/13	K		
7. -Merrill Lynch Retirement Reserves									
8. -Merrill Lynch Cash Equivalent Accounts									
9. -Transamerica Short Term Bond Fund					Buy	03/18/13	K		
10. Hunker Commune (Holly, Bluestem, Rio Oil & Gas)*	B	Royalty	J	W					
11. Lot in South Spring Acres, Roswell, NM		None	J	W					
12. Stock in South Spring Acres, Roswell, NM		None	K	W					
13. Minerals, Washita County, OK (BBX Oil Corp.)	A	Rent	J	W					
14. Silver and silver coins		None	J	T					
15. Gold coins		None	J	T					
16. Navajo, Hockley County, TX	B	Royalty	J	W					
17. Pioneer Savings Bank	A	Interest	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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18. Working interest in Hodges - Hockley County, TX	A	Royalty	J	T					
19. Working interest in Jeffers-Hockley County, TX	A	Royalty	J	T					
20. Working interest in Pair- Hockley County, TX	A	Royalty	J	T					
21. Working interest in Reed-Hockley County, TX	A	Royalty	J	T					
22. Working interest in White-Hockley County, TX	A	Royalty	J	T					
23. Working interest in Terry-Hockley County, TX	A	Royalty	J	T					
24. Cash Value Life Insurance, AXA Equitable(Money Market Acct)	A	Interest	J	T					
25. Oil & Gas Items:									
26. XTO Energy Production	A	Royalty	J	W					
27. BP Am Production Company	D	Royalty	K	W					
28. Conoco Phillips	E	Royalty	K	W					
29. Sunco Oil & Gas Production	A	Royalty	J	W					
30. Great Western Drilling Company	C	Royalty	K	W					
31. El Paso Production Company	C	Royalty	K	W					
32. Working interest in Mewbourn Oil, Eddy County, NM	B	Royalty	J	W					
33. Property #2, Chaves County, NM	D	Rent			Sold	07/09/13	L	B	Larry Brooks
34. Trust #1	E	Dividend	O	T					

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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. -GLENDALE AZ UN HGH SCH					Redeemed	07/01/13	K		
36. -PIMA CNTY AZ STR & HWY REV									
37. -ISHARES RUSSELL 1000 GROWTH INDEX FUND					Sold	01/02/13	L		
38. - ISHARES MSCI EAFE* (See VIII)									
39. -ISHARES IBOXX\$ INVT GRADE CORP BD FUND									
40. -ISHARES GOLD TR					Sold (part)	02/01/13	J		
41.					Sold (part)	05/01/13	J		
42.					Buy (add'l)	09/03/13	J		
43.					Sold (part)	10/01/13	J		
44.					Buy (add'l)	12/02/13	J		
45. - ISHARES MBS *(See VIII)									
46. -ISHARES IBOXX\$ HIGH YIEL CORPORATE BOND FUND									
47. -ISHARES JP MORGAN EM BON					Sold	08/01/13	J		
48. -ISHARES DOW JONES US REAL ESTATE INDEX FUND					Buy (add'l)	01/02/13	J		
49.					Sold	07/08/13	K		
50. -ISHARES 1-3 YEAR TREAS BOND* (See VIII)					Buy	06/03/13	K		
51.					Buy	07/01/13	J		

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52.					Buy (add'l)	07/08/13	J		
53.					Buy (add'l)	08/01/13	K		
54.					Sold (part)	09/03/13	J		
55. -VANGUARD FINANCIALS ETF									
56. -VANGUARD CONSUMER STAPLES									
57. -VANGUARD MATERIALS ETF					Sold	04/01/13	K		
58. -VANGUARD HEALTH CARE ETF					Sold (part)	01/02/13	K		
59.					Buy (add'l)	04/01/13	K		
60.					Sold	10/01/13	K		
61. -VANGUARD TELECOMM SRVCS ETF					Sold	01/02/13	K		
62. -VANGUARD INDUSTRIAL ETF					Sold (part)	01/02/13	K		
63.					Buy (add'l)	04/01/13	K		
64.					Sold (part)	07/01/13	K		
65.					Buy (add'l)	10/01/13	K		
66. -VANGUARD MSCI EMERGING MRKTS ETF					Sold (part)	06/03/13	K		
67.					Sold (part)	07/01/13	K		
68.					Buy (add'l)	11/01/13	L		

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69. -VANGUARD INTERMEDIATE TERM BOND ETF					Buy (add'l)	01/02/13	J		
70.					Sold (part)	08/01/13	J		
71. -VANGUARD SHORT TERM BOND					Sold (part)	01/02/13	J		
72.					Buy (add'l)	02/01/13	J		
73.					Buy (add'l)	04/01/13	J		
74.					Buy (add'l)	05/01/13	J		
75.					Buy (add'l)	06/03/13	K		
76.					Buy (add'l)	07/01/13	K		
77.					Buy (add'l)	07/08/13	J		
78.					Buy (add'l)	10/01/13	K		
79.					Sold (part)	11/01/13	L		
80.					Sold (part)	12/02/13	K		
81. -VANGUARD SMALL CAP VALUE					Buy	01/02/13	L		
82. -VANGUARD CONSUMER DISCRETIONARY					Buy	01/02/13	K		
83.					Sold (part)	04/01/13	K		
84.					Buy (add'l)	07/01/13	J		
85. -VANGUARD ENERGY ETF					Buy	01/02/13	K		

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86. -VANGUARD UTILITIES					Buy	01/02/13	K		
87. -VANGUARD REIT ETF					Buy	12/02/13	J		
88. -ELEMENTS - ROGERS TR					Sold (part)	04/01/13	J		
89.					Sold (part)	06/03/13	J		
90.					Buy (add'l)	07/01/13	J		
91.					Buy (add'l)	09/03/13	J		
92.					Sold (part)	10/01/13	J		
93. -ML BANK DEPOSIT PROGRAM									

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

Part VII, Page 4, line 6 - Also known as FIA Card Services NA RASP

Part VII, Page 4, line 10 - Rio Oil and Gas, LLC will now be managing the Bluestem Energy Holdings, LLC assets, however royalty check will continue to be issued by Bluestem Energy Holdings, LLC

Part VII, Page 6, line 38 - Also known as ISHARES MSCI EAFE INDEX FUND

Part VII, Page 6, line 45 - Also known as ISHARES BARCLAYS MBS BON FUND

Part VII, Page 6, line 50 - This asset was formerly known as ISHARES BARCLAYS 1-3 YEAR TREAS INDEX FUND

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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