AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
BABCOCK, LEWIS T.	U.S. DISTRICT COURT - COLORADO	04/27/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
JUDGE - SENIOR STATUS	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.	2021	Self-employed artist
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
BABCOCK, LEWIS T.	04/27/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. Double Eagle Petroleum Mining Co (Com.) kna Escalera Resources		None	J	T					
2. Prime Energy Corp (Com) fka KRM Petrleum 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) American Bond Fund of America A	A	Dividend	J	T	Distributed (part)	12/01/21	J	B	
7. c) Hartford Dividend & Growth A (THGIX)	A	Dividend	J	T	Distributed (part)	12/01/21	J	B	
8. Brokeridge Account #2 (IRA)									
9. a) American World Growth & Income A	A	Dividend	K	T	Distributed (part)	10/01/21	J	B	
10. Brokeridge Account #2									
11. a) Citibank Bank Deposit Program Money Market Account	A	Interest	K	T					
12. b) AT&T Inc	A	Dividend	K	T					
13. c)(i) Pfizer, Inc.	A	Dividend	K	T					
14. d) Alcate10Lucent ADR n/k/a Nokia CPADR		None	J	T					
15. e) Viacom B (Com) now Paramount Global B	A	Dividend	J	T					
16. h) Comcast Corp (Com)	A	Dividend	K	T					
17. i) American Builder A	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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18.	j) Capital World Growth & Income B (CWGIx)	A	Dividend	L	T					
19.	k) Invesco Charter Funds	A	Dividend	L	T					
20.	Invesco Am Franchise fund	A	Dividend	L	T					
21.	AIM Invesco Diversified Div Fund NKA	A	Dividend	L	T					
22.	Invesco Municipal Income	C	Int./Div.	M	T					
23.	Valic (IRA) nka AIG Retirement	A	Interest	K	T	Distributed (part)	11/20/21	J	A	
24.	U.S. Consolidated Federal Credit Union nka ENT									
25.	a) CD	A	Interest	K	T					
26.	b) Account #1 - Bank account	A	Interest	K	T					
27.	USbancorp Account #1 - Bank account	A	Interest	J	T					
28.	USbancorp Account #2 - Bank account	A	Interest	J	T					
29.	Lot Riverside County, Calif		None	J	W					
30.	.333 Int in Section Imperial County, CA		None	M	W					
31.	Brokeridge Account #1 (IRA)									
32.	a) American Capital World Growth Income B	A	Dividend	K	T	Distributed (part)	10/15/21	J	A	
33.	b) American Capital Income Building Fund B	A	Dividend	K	T	Distributed (part)	10/15/21	J	A	
34.	Brokeridge Account #2									

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35. American Cup Builder	A	Dividend	K	T					
36. Brokeridge Account #3 CBS - See Line #15									
37. a)Apple Inc.	A	Dividend	L	T					
38. b) Bristol Myers	A	Dividend	J	T					
39. c) Verizon	A	Dividend	J	T					
40. d) Alerian (AMPL)	A	Dividend	J	T					
41. CBS - See Line #15									
42. Waddell & Reed/IVY Investments are one in the same - Core equity	A	Dividend	J	T	Distributed (part)	12/01/21	J	B	
43. Vatris (spinoff from Pfizer)	A	Interest	J	T		11/02/21			

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

SECTION VII - Investments and Trusts

Name of Person Reporting	Date of Report
BABCOCK, LEWIS T.	04/27/2022

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
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