AO 10
Rev. 1/2019

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 | 1/24/2024 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| 1929 STOUT STREET, C450<br>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. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **BABCOCK, LEWIS T.** | 1/24/2024 |

## 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. | 2022 | 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.)*

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

| Name of Person Reporting | Date of Report |
|---|---|
| **BABCOCK, LEWIS T.** | 1/24/2024 |

## V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 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.)*

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

| Name of Person Reporting | Date of Report |
|---|---|
| **BABCOCK, LEWIS T.** | 1/24/2024 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (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 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) | 12/01/22 | J | B | |
| 7. -c) Hartford Dividend & Growth A (THGIX) | A | Dividend | J | T | Distributed (part) | 12/01/22 | J | B | |
| 8. Brokeridge Account #2 (IRA)(H) | | | | | | | | | |
| 9. -a) American World Growth & Income A | A | Dividend | K | T | Distributed (part) | 12/29/22 | J | B | |
| 10. Brokeridge Account #2(H) | | | | | | | | | |
| 11. -a) Citibank Bank Deposit Program Money Market Account | A | Interest | K | T | | | | | |
| 12. -b) AT&T Inc | A | Dividend | J | 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

| Name of Person Reporting | Date of Report |
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| **BABCOCK, LEWIS T.** | 1/24/2024 |

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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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 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 nka MacQuarie Fidelity Trust | A | Interest | J | T | | | | | |
| 24. U.S. Consolidated Federal Credit Union nka ENT(H) | | | | | | | | | |
| 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 | K | T | | | | | |
| 28. USbancorp Account #2 - Bank account | A | Interest | K | 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)(H) | | | | | | | | | |
| 32. -a) American Capital World Growth Income B *** | | | | | | | | | |
| 33. -b) American Capital Income Building Fund B | A | Dividend | K | T | Distributed (part) | 10/15/22 | J | A | |
| 34. Brokeridge Account #2)H) | | | | | | | | | |

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
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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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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) | (5) Identity of buyer/seller (if private transaction) |
| 35. American Cup Builder *** | | | | | | | | | |
| 36. Brokeridge Account #3 CBS - See Line #15(H) | | | | | | | | | |
| 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. Waddell & Reed/IVY Investments are one in the same - Core equity | A | Dividend | J | T | Distributed (part) | 12/01/22 | J | B | |
| 42. Vatris (spinoff from Pfizer) | A | Interest | J | T | | 11/02/22 | | | |

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
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| **BABCOCK, LEWIS T.** | 1/24/2024 |

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

SECTION VII - Investments and Trusts

In response to your inquiry of January 5, 2024, concerning Part VII, Lines 4 and 23, please see the following explanation of the type of assets and certifying that the assets are not self-directed.

Line 4 is listed as "Colorado Public Employees Retirement Association."

Line 23 is listed as "Valic (IRA) nka AIG Retirement nka MacQuarie Fidelity Trust."

I do not own outright nor have any control over the selection or disposition of the assets in these funds. Therefore, the plans are not considered self-directed and pursuant to your rules and guidelines, I am not required to list the individual holdings within them.

| Name of Person Reporting | Date of Report |
|---|---|
| **BABCOCK, LEWIS T.** | 1/24/2024 |

## 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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