

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011**

*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) LUCERO, CARLOS F.	2. Court or Organization US COURT OF APPEALS - 10TH CIR.	3. Date of Report 05/15/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE-ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 1823 STOUT STREET DENVER, CO 80257		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1. PRESIDENT & DIRECTOR	CARLOS F. LUCERO, PROFESSIONAL CORPORATION
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. Monthly	Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for law firm.	\$22,300.00
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. Northwestern University Law School Miner Moot Court	3/03-3/05	Chicago, IL	Non-FJC Edu Seminar	Transportation, Food, Lodging
2. American Bar Association	4/13 - 4/15	Mexico City, Mexico	Non-FJC Edu Seminar	Transportation, Food, Lodging
3. American Bar Association	5/18-5/22	Cuenca, Ecuador	Non-FJC Edu Seminar	Transportation, Food, Lodging
4. American Bar Association	10/04-10/06	Washington, DC	Non-FJC Edu Seminar	Transportation, Food, Lodging
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.	ESTATE OF MARIA MEDINA	INSTALLMENT NOTE TO PURCHASE 1/2 INTEREST IN [REDACTED] [REDACTED] RIO ARriba COUNTY, N.M.	K
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. ☐ COMMERCIAL BUILDING, ALAMOSA COUNTY, CO	F	Rent	N	W					
2. ☐ APARTMENTS, ALAMOSA COUNTY, CO	E	Rent	M	W					
3. ☐ 1/4 SECTION FARM LAND; CONEJOS COUNTY, CO	A	Rent	K	W					
4. Vacant Land, Conejos County Co		None	J	S					See # 6
5. 1/2 INTEREST IN ☐ RIO ARRIBA COUNTY, NM		None	M	Q					See # 4
6. ☐ VACANT LOT; JEFFERSON COUNTY, CO		None	K	S					See #7
7. LOS HERMANOS LUCEROS, LTD PARTNERSHIP (14% INTEREST)	F	Distribution	M	U					See # 1
8. CARLOS F. LUCERO, PC (100% STOCK)	E	Dividend	J	U					See # 2
9. ☐ LCM, INC. (100% MUTUAL FUNDS)	E	Dividend	N	T					See # 3
10. TD AMERITRADE IRA BROKERAGE ACCOUNT									
11. SPDR Dow Jones (DIA)	A	Dividend	K	T					
12. Spdr Tr Unit Ser I (SPY)	B	Dividend	L	T					
13. Vanguard Funds Emerging Markets Vipers (VWO)	A	Dividend	J	T					
14. Federated Income Sec Tr (PSAFX)	B	Dividend	K	T					#8
15. Harbor FD BD FD INSTL (HABDX)	A	Dividend	J	T					
16. Mathews Intl FDS Pacific Tiger (MAPTX)	A	Dividend	K	T					
17. Payden Invt Emerging Markets BD FD (PYEMX)	A	Dividend	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	

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18. Payden Inv Group GNMA (PYGNX)	A	Dividend	J	T					
19. PIMCO Funds Invest Grade Corp BD FD (PGCAX)	B	Dividend	K	T					
20. PIMCO High Yield FD ADMIN (PHYAX)	B	Dividend	K	T					
21. PIMCO Real Return (PRRDY)	B	Dividend	L	T					
22. Ishares S&P Small Cap 600 Index	A	Dividend	K	T					
23. Money Market Fund TDAM	A	Interest	K	T					
24. Harbor FD High Yield Bond Fund (HYFIX)	A	Dividend	J	T					
25. TD AMERITRADE BROKERAGE ACCOUNT									
26. SPDR Dow Jones (DIA)	A	Dividend			Sold	11/11/11	K	D	
27. Shares Boxx & INVTOP INVE FD (LQD)	A	Dividend			Sold	11/11/11	K	C	
28. PIMCO Corp Opportunity Fund Closed End (PTY)	A	Dividend			Sold	11/11/11	J	C	
29. Powershares QQQ (QQQQ)	A	Dividend			Sold	11/11/11	K	E	
30. SPDR TR Unit Ser 1 (SPY)	A	Dividend			Sold	11/11/11	K	D	
31. Vanguard Msci US MID Cap 450 INDEX (VO)	A	Dividend			Sold	11/11/11	J	D	
32. Leuthold Core Investments FD (LCORX)	A	Dividend			Sold	11/14/11	K	A	
33. PIMCO Total Ret Fd Admin	A	Dividend			Sold	11/11/11	K	B	
34. Money Market Fund TDAM	A	Interest	K	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	
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35. Vanguard Conv Secs FD SH BEN INT	A	Dividend			Sold	11/11/11	K	C	
36. Fidelity Advisor Ser V Floating RT HI INC FD Retail (FFRHX)	A	Dividend			Sold	11/11/11	K	B	
37. CHARLES SCHWAB & CO, INC. BROKERAGE ACCOUNT									
38. --SCHWAB MUNI MONEY FUND	A	Interest	J	T					
39. --EQUITABLE LIFE ASSURANCE SOCIETY--ANNUITY	D	Dividend	M	W					See # 2
40. --SAFECO LIFE INSURANCE COMPANY--ANNUITY	D	Dividend	M	W					See # 2
41. --COLORADO BONDSHARES	D	Dividend	N	T					
42. LCM 3, LLC		None	J	S					See # 5
43. Viento Claro Energy, LLC		None	J	U					

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

- #1. Assets over \$10,000 value consist of [REDACTED] ranch, land, water rights, equipment, livestock and related property held in partnership [REDACTED]. Income was derived from the sale of livestock.
- #2. Assets over \$10,000 value consist of law partnership income earned prior to June 30, 1995 in the form of annuities. For tax purposes, annuity income is reported by CFL, P.C. I own 100% of the stock of "Carlos F. Lucero, PC" however the assets of this corporation include only a bank account for which the value and income amounts are less than the required reporting amounts, i.e. the value is less than \$5,000 and the income earned is less than \$200. This corporation does receive income in the form of an annuity and is reported in Part III.
- #3. Assets over \$10,000 value consists of mutual funds. LCM, Inc is a corporation owned by [REDACTED]. The assets include a bank account, certificates of deposit, a money market account, and Colorado Bondshares mutual fund. .
- #4. Land was purchased on January 1, 2003 for \$50,174 from the estate of Maria Medina, property is subject to mortgage (part VI, Line 1).
- #5. Assets of LCM 3, LLC consist of oil/gas investments through Avanti Exploration, LLC and are believed to be worthless at the close of the year.
- #6 Most recent assessed value is \$6,750.
- #7 Most recent assessed value is \$49,140.
- #8 Asset name change from (Prudent Global Inc FD SH BEN INT PSAFX) on line 15 on the 2010 FDR to (Federated Income Sec Tr PSAFX)

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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/ CARLOS F. LUCERO**

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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Washington, D.C. 20544