

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 05/15/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address 1823 STOUT STREET DENVER, CO 80257	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. 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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

Lucero, Carlos F.

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LUCERO, CARLOS F.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	5/16 - 5/21	Lojo, Ecuador	Non-FJC Edu Seminar	Transportation, Food, Lodging
2. American Bar Association	6/13 - 6/17	Mexico City, Mexico	Non-FJC Edu Seminar	Transportation, Food, 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. 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	K	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	K	R					
5. 1/2 INTEREST IN ☐ RIO ARRIBA COUNTY, NM		None	M	Q					See # 4
6. ☐ VACANT LOT; JEFFERSON COUNTY, CO		None	M	S					
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					See # 8
12. Powershares QQQ (QQQQ)	A	Dividend			Sold	03/18/10	K	D	
13. Spdr TrUnit Ser 1 (SPY)	A	Dividend	K	T					
14. Vanguard Funds Emerging Markets Vipers (VWO)	A	Dividend	J	T					
15. Prudent Global Inc FD SH BEN INT (PSAFX)	A	Dividend	K	T					
16. Harbor FD BD FD INSTL (HABDX)	A	Dividend	J	T					
17. Mathews Intl FDS Pacific Tiger (MAPTX)	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

LUCERO, CARLOS F.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Payden Invt Emerging Markets BD FD (PYEMX)	A	Dividend	J	T					
19. Payden Invt Group GNMA (PYGNX)	A	Dividend	J	T					
20. PIMCO Funds Invest Grade Corp BD FD (PGCAX)	A	Dividend	K	T					
21. PIMCO High Yield FD ADMIN (PHYAX)	A	Dividend	K	T					
22. PIMCO Real Return (PRRDY)	A	Dividend	L	T					
23. Ishares S&P Small Cap 600 Index	A	Dividend	K	T					
24. Money Market Fund TDAM	A	Interest	K	T					See # 6
25. Harbor FD High Yield Bond Fund (HYFIX)	A	Dividend	J	T					
26. TD AMERITRADE BROKERAGE ACCOUNT									
27. SPDR Dow Jones (DIA)	A	Dividend	K	T					See # 9
28. Shares Boxx & INVTOP INVES FD (LQD)	B	Dividend	K	T					
29. PIMCO Corp Opportunity Fund Closed End (PTY)	A	Dividend	J	T					
30. Powershares QQQ (QQQQ)	A	Dividend	K	T					
31. SPDR TR Unit Ser I (SPY)	A	Dividend	K	T					
32. Vanguard Msci US MID Cap 450 INDEX (VO)	A	Dividend	J	T					
33. Leuthold Core Investments FD (LCORX)	A	Dividend	K	T					
34. PIMCO Total Ret Fd Admin	A	Dividend	K	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$250,000.01 - \$500,000.00

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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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 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. Money Market Fund TDAM	A	None	J	T					See # 7
36. Vanguard Conv Secs FD SH BEN INT		None	K	T					
37. Fidelity Advisor Ser V Floating RT HI INC FD Retail (FFRHX)		None	K	T					
38. CHARLES SCHWAB & CO, INC. BROKERAGE ACCOUNT									
39. --SCHWAB MUNI MONEY FUND			J	T					
40. --EQUITABLE LIFE ASSURANCE SOCIETY--ANNUITY	D	Dividend	M	W					See # 2
41. --SAFECO LIFE INSURANCE COMPANY--ANNUITY	D	Dividend	M	W					See # 2
42. --COLORADO BONDSHARES	E	Dividend	N	T					
43. LCM 3, LLC		None	J	S					See # 5
44. Viento Claro Energy, LLC		None	J	U					

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(See Columns B1 and D4)

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P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

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H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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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] [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 Asset name change from (Money Market Fund TDAM US Government Port Class A) on line 25 of the 2009 FDR to (Money Market Fund TDAM) line 24 2010 FDR.

#7 Asset name change from (Money Market Fund Dividends TDAM US Government Port Class A) on line 37 of the 2009 FDR to (Money Market Fund TDAM) line 35 2010 FDR.

#8 Asset name change from (Diamonds Trust Series I Com DIA) on line 11 on the 2009 FDR to (SPDR Dow Jones DIA) line 11 2010 FDR.

#9 Asset name change from (Diamonds Trust Series I Com DIA) on line 28 on the 2009 FDR to (SPDR Dow Jones DIA) line 27 2010 FDR.

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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 WILFULLY 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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