

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2013**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                              |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>LUCERO, CARLOS F.                                                                                                     | <b>2. Court or Organization</b><br><br>US COURT OF APPEALS - 10TH CIR.                                                                                                                                                                                                                       | <b>3. Date of Report</b><br><br>05/15/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>ARTICLE III JUDGE-ACTIVE                                       | <b>5a. Report Type</b> (check appropriate type)<br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>1823 STOUT STREET<br>DENVER, CO 80257                                                                                                          |                                                                                                                                                                                                                                                                                              |                                                                  |
| <b>IMPORTANT NOTES:</b> <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.</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. |  |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

**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<br>(yours, not spouse's) |
|------------|-----------------------------------------------------------------------------------------------------|---------------------------------|
| 1. Monthly | Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for former clients. | \$22,299.60                     |
| 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. ABA - Rule of Law Initiative | 4/29-5/07 | Bogota, Colombia | Non-FJC Edu Seminar | Transportation, Food, Lodging |
| 2. Federal Bar Association      | 5/13-5/21 | Memphis, TN      | Non-FJC Edu Seminar | Transportation, Food, Lodging |
| 3.                              |           |                  |                     |                               |
| 4.                              |           |                  |                     |                               |
| 5.                              |           |                  |                     |                               |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

**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 ■■■<br>ACRES, RIO ARriba COUNTY, N.M. | K                 |
| 2. |                        |                                                                                    |                   |
| 3. |                        |                                                                                    |                   |
| 4. |                        |                                                                                    |                   |
| 5. |                        |                                                                                    |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. ■ COMMERCIAL BUILDING,<br>ALAMOSA COUNTY, CO                                                                             |                                         | None                                          | K                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. ■ APARTMENTS, ALAMOSA<br>COUNTY, CO                                                                                      | B                                       | Rent                                          | K                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. ■ 1/4 SECTION FARM LAND;<br>CONEJOS COUNTY, CO                                                                           | A                                       | Rent                                          | K                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Vacant Land, Conejos County Co                                                                                           |                                         | None                                          | J                                               | S                                         |                                                 |                         |                                 |                                | See # 6                                                           |
| 5. 1/2 INTEREST IN ■ ACRES RIO<br>ARRIBA COUNTY, NM                                                                         |                                         | None                                          | M                                               | Q                                         |                                                 |                         |                                 |                                | See # 4                                                           |
| 6. ■ ACRE VACANT LOT; JEFFERSON<br>COUNTY, CO                                                                               |                                         | None                                          | K                                               | S                                         |                                                 |                         |                                 |                                | See #7                                                            |
| 7. LOS HERMANOS LUCEROS, LTD<br>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.                                                                                                              | D                                       | Int./Div.                                     | M                                               | U                                         |                                                 |                         |                                 |                                | See # 3                                                           |
| 10. TD AMERITRADE IRA BROKERAGE<br>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<br>(VVO)                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Federated Income Sec Tr (PSAFX)                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/02/13                | K                               | A                              |                                                                   |
| 15. Harbor FD BD FD INSTL (HABDX)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | J                               | A                              |                                                                   |
| 16. Mathews Intl FDS Pacific Tiger (MAPTX)                                                                                  | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Payden Invt Emerging Markets BD FD<br>(PYEMX)                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | J                               | B                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                                                       |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------------------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>I = More than \$5,000,000          | E = \$15,001 - \$50,000<br>J = More than \$50,000,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                                                       |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                                                       |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Payden Inv Group GNMA (PYGNX)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | J                               | A                              |                                                                   |
| 19. PIMCO Funds Invest Grade Corp BD FD (PGCAX)                                                                             | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | K                               | C                              |                                                                   |
| 20. PIMCO High Yield FD ADMIN (PHYAX)                                                                                       | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | K                               | D                              |                                                                   |
| 21. PIMCO Real Return (PRRDY)                                                                                               | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. iShares Core S&P Small-Cap ETF (IJR)                                                                                    | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. Money Market Fund TDAM                                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. Harbor FD High Yield Bond Fund (HYFIX)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/08/13                | J                               | B                              |                                                                   |
| 25. TD AMERITRADE BROKERAGE ACCOUNT                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 26. Money Market Fund TDAM                                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. CHARLES SCHWAB & CO, INC. BROKERAGE ACCOUNT                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 28. --SCHWAB BROKERAGE DEPOSIT ACCOUNT                                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. --EQUITABLE LIFE ASSURANCE SOCIETY--ANNUITY                                                                             | D                                       | Dividend                                      | M                                               | W                                         |                                                 |                         |                                 |                                | See # 2                                                           |
| 30. --SAFECO LIFE INSURANCE COMPANY--ANNUITY                                                                                | D                                       | Dividend                                      | M                                               | W                                         |                                                 |                         |                                 |                                | See # 2                                                           |
| 31. --COLORADO BONDSHARES                                                                                                   | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. LCM 3, LLC                                                                                                              |                                         | None                                          | J                                               | W                                         |                                                 |                         |                                 |                                | See # 5                                                           |
| 33. Viento Claro Energy, LLC                                                                                                |                                         | None                                          | J                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. TD AMERITRADE ACCT - ROLLOVER IRA                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See # 8                                                           |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                             |   |          |   |   |     |          |   |  |  |
|-------------------------------------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 35. ALPS Brown Capital Small Company (BCSSX)                | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 36. AQR Managed Futures (AQMIX)                             | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 37. Artisan Mid CapValue (ARTQX)                            |   | None     | J | T | Buy | 11/13/13 | J |  |  |
| 38. Berwyn FD INC COM (BERWX)                               | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 39. Bridgeway FD INC Blue-Chip 35 Index FD (BRLIX)          | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 40. Bussalo FDS Mid Cap FD (BUFMX)                          | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 41. Dodge and Cox Funds Intl STK FD (DODFX)                 | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 42. Dodge and Cox Funds Stock Funds (DODGX)                 | A | Dividend | J | T | Buy | 11/13/13 | K |  |  |
| 43. ING Real Estate FD CL 1 (IGLIX)                         |   | None     | J | T | Buy | 11/13/13 | J |  |  |
| 44. Jensen Quality Growth (JENIX)                           | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 45. Metropolitan West TOT RET BD CL 1 (MWTIX)               | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 46. PIMCO total RET FD INSTL (PTTRX)                        | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 47. SSGA FDS EMERG MKTS Select (SEMSX)                      | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 48. T Rowe Price EMERG MKTS Select (PRMSX)                  | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 49. T Rowe Price Blue Chip Growth Fund (TRBCX)              |   | None     | K | T | Buy | 11/13/13 | J |  |  |
| 50. T Rowe Price Equity Income F SH BEN INT (PRFDX) (PRFDX) | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |
| 51. Templeton Global Bond Advisor (TGBAX)                   | A | Dividend | J | T | Buy | 11/13/13 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. Thornburg INTERNTL Value INST<br>(TGVIX)                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/13/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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 with [REDACTED] members. 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. 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 my [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 Line 34 Part VIII designates a new IRA account with detailed holdings listed below.

# FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2014

## 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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544