

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/14/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 1823 STOUT STREET DENVER, CO 80257		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President and 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.	

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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 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. University of California at Los Angeles School of Law	April 5-9, 2016	Los Angeles, CA	Non-FJC Educational Seminar	Transportation, Food, Lodging
2. University of Utah Law School	April 13-15, 2016	Salt Lake City, UT	Non-FJC Educational Seminar	Transportation, Food, Lodging
3. Emory University Law School	October 13-17, 2016	Atlanta, GA	Non-FJC Educational Seminar	Transportation, Food, Lodging
4. George Washington University Law School	November 17-21, 2016	Washington, DC	Non-FJC Educational 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 160 acres, Rio Arriba County, New Mexico	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		None	K	W					
2. Apartments, Alamosa County, CO	E	Rent	K	W					
3. 1/4 Section Farm Land; Conejos County, CO	A	Rent	K	W					
4. Vacant Land, Conejos County Co		None	J	W					
5. 1/2 Interest in 160 Acres Rio Arriba County, NM (See Note 1)		None	M	W					
6. 36 Acre Vacant Lot, Jefferson County, CO		None	K	W					
7. Los Hermanos Luceros, Ltd Partnership (14% Interest) (See Note 2)		None	M	U					
8. Carlos F. Lucero, PC (100% Stock) (See Note 3)		None	J	U					
9. LCM, Inc TD Ameritrade Brokerage Account (H) (See Note 4)									
10. - TD Ameritrade IDA Interest Money Market (See Note 4)	A	Interest	J	T					
11. - iShares TIPS Bond ETF (TIP) (See Note 4)	F	Dividend	J	T					
12. - Payden Low Duration Fund (PYSBX) (See Note 4)	A	Dividend	J	T					
13. - Pimco Low Duration Fd (PLDDX) (See Note 4)	A	Dividend	J	T					
14. - T Rowe Price Short Term Bond (PRWBX) (See Note 4)	A	Dividend	J	T					
15. TD Ameritrade IRA Brokerage Account (H)									
16. - SPDR Dow Jones Industrial Ave ETF Trust (DIA)	A	Dividend	K	T					
17. - SPDR Tr S&P500 ETF Tr (SPY)	B	Dividend	L	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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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)

18. - Vanguard Funds Emerging Markets ETF (VWO)	A	Dividend	J	T					
19. - Mathews Fds Pacific Tiger (MAPTX)	A	Dividend	L	T					
20. - PIMCO Real Return Fd (PRRDX)	A	Dividend	K	T	Sold (part)	07/20/16	K	B	
21. - iShares Core S&P Small-Cap ETF (IJR)	A	Dividend	L	T					
22. - TD Ameritrade Interest Money Market Fund	A	Interest	K	T					
23. TD Ameritrade Brokerage Account (H)									
24. - TD Ameritrade IDA Interest Money Market	A	Interest	J	T					
25. Charles Schwab Brokerage Account (H)									
26. - Schwab Deposit Account Money Market	A	Interest	J	T					
27. Equitable Life Assurance Society - Annuity	D	Dividend	M	W					
28. Safeco Life Insurance Company - Annuity	D	Dividend	M	W					
29. Colorado Bondshares	D	Dividend	N	T					
30. LCM 3, LLC (Y)									
31. TD Ameritrade IRA Rollover (H)									
32. - ALPS Brown Capital Small Company (BCSSX)	B	Dividend	J	T					
33. - AQR Managed Futures Strategy (AQMFX)	A	Dividend	J	T	Buy (add'l)	09/28/16	J		
34. - Artisan Mid Cap Value Advisor (APDQX)	A	Dividend	J	T	Buy (add'l)	03/29/16	J		

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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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35.					Buy (add'l)	06/28/16	J		
36. - Blackrock Total Return (MPHQX)	A	Dividend	J	T	Sold (part)	03/29/16	J	A	
37. - Bridgeway FD Inc Blue-Chip 35 Index Fd (BRLIX)	A	Dividend	J	T	Sold (part)	06/28/16	J	A	
38. - Buffalo Fds Mid Cap Fd (BUFMX)	A	Dividend	J	T	Buy (add'l)	06/28/16	J		
39. - Dodge and Cox Funds Intl STK FD (DODFX)	A	Dividend	J	T	Buy (add'l)	01/07/16	J		
40.					Buy (add'l)	06/28/16	J		
41. - Dodge and Cox Funds Stock Fund (DODGX)	A	Dividend	J	T	Sold (part)	06/28/16	J	A	
42. - VOYA Global Real Estate I (IGLIX)		None			Sold	06/28/16	J	A	
43. - Jensen Quality Growth (JENIX)	A	Dividend			Sold	01/07/16	J	A	
44. - Metropolitan West Total Return Bd (MWTX)	A	Dividend	J	T	Sold (part)	03/29/16	J	A	
45. - Northern Fds Small Cap Fd (NOSGX)	A	Dividend	J	T					
46. - Pimco Real Return Fd Instl CI (PRRIX)	A	Dividend			Buy (add'l)	03/29/16	J		
47.					Sold	06/28/16	J	A	
48. - T Rowe Price High Yield (PRHYX)	A	Dividend	J	T					
49. - T Rowe Price Emerging Mkts Stock (PRMSX)	A	Dividend	J	T					
50. - T Rowe Price Blue Chip Growth Fund (TRBCX)	A	Dividend	J	T	Sold (part)	01/07/16	J	A	
51. - T Rowe Price Equity Income (REIPX)	A	Dividend	J	T	Sold (part)	01/07/16	J	A	

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52.					Sold (part)	06/29/16	J	A	
53. - Templeton Global Bond Advisor (TGBAX)	A	Dividend	J	T					
54. - Thornburg International Value Inst (TGVIX)	A	Dividend	J	T	Buy (add'l)	01/07/16	J		
55.					Buy (add'l)	06/28/16	J		
56. - Primecap Odyssey Stock Fd (POSKX)	A	Dividend	J	T	Buy	01/07/16	J		
57. DSL Real Estate	A	Dividend	J	U					
58. 1st SouthWest Bank cash account (X)		None	J	T					
59. Residential Rental Property #1, Los Angeles, CA (X)	C	Rent	O	W					
60. Residential Rental Property #2, Los Angeles, CA (X)	C	Rent	O	W					
61. Residential Rental Property #3, Los Angeles, CA (X)	C	Rent	O	W					
62. Residential Rental Property (Triplex), Los Angeles, CA (X)	C	Rent	O	W					
63. Chase Bank Savings Account (X)	B	Interest	O	T					
64. Marine Clerks Association Life Insurance (X)	A	Dividend	J	W					
65. Wells Fargo Certificates of Deposit (X)	A	Interest	J	T					

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

- 1) Line 5 - 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).
- 2) Line 7 - Assets over \$10,000 value consist of family ranch, land, water rights, equipment, livestock and related property held in partnership with family members.
- 3) Line 8 - 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.
- 4) Lines 9-14 - LCM, Inc is a corporation owned by my spouse. The assets were reported as a combined entry on line 9 of my 2015 report. There have been no conflict of interest issues regarding these securities.
- 5) This report was prepared on my behalf by my accountant.

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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