

Judiciary Branch Personnel

Financial Disclosure Report (AO Form 10)

Filer's Information

Lucero, Carlos F

Report Year: 2019

Electronic Signature - I certify that all information provided (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.

I further certify that earned income and honoraria and acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

/s/ Lucero, Carlos F [electronically signed on 05/15/2020 by Lucero, Carlos F in JEPS]

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Carlos F. Lucero, Professional Corporation	Corporation	President and Director

II. Agreements

None

III A. Filer's Non-Investment Income

#	SOURCE	INCOME TYPE	INCOME AMOUNT
1	Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for former clients	Fixed Retirement / Pension Benefits	\$22,300

III B. Spouse's Non-Investment Income

None

IV. Reimbursements

None

V. Gifts

None

VI. Liabilities

None

VII. Investments and Trusts

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
1	Land, Alamosa County, CO F/K/A Commercial Building, Alamosa County, CO	See Note	None	None	\$100,001 - \$250,000	Assessment			
2	Apartments, Alamosa County, CO		\$15,001 - \$50,000	Rent	\$100,001 - \$250,000	Estimated			
3	1/4 Section Farm Land; Conejos County, CO		\$1,000 or less	Rent	\$15,001 - \$50,000	Estimated			
4	Vacant Land, Conejos County Co			None	\$1 - \$15,000	Estimated			
5	1/2 Interest in 160 Acres Rio Arriba County, NM		None	None	\$100,001 - \$250,000	Estimated			
6	36 Acre Vacant Lot, Jefferson County, CO			None	\$15,001 - \$50,000	Estimated			
7	Los Hermanos Luceros, Ltd Partnership (14% Interest)		\$1,001 - \$2,500	Rent	\$100,001 - \$250,000	Book Value			
8	Carlos F. Lucero, PC (100% Stock)		None	None	\$15,000 or less	Book Value			
9	Brokerage #1 (H) F/K/A LCM, Inc TD Ameritrade Brokerage Account								
9.1	- TD Ameritrade IDA Interest Money Market		\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
9.2	- IShares TIPS Bond ETF (TIP)		\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
9.3	- Payden Low Duration Fund (PYSBX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
9.4	- Pimco Low Duration Fd (PLDDX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
9.5	- T Rowe Price Short Term Bond (PRWBX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
10	IRA #1 (H) F/K/A TD Ameritrade IRA Brokerage Account							
10.1	- SPDR Dow Jones Industrial Ave ETF Trust (DIA)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
10.1.1	- SPDR Dow Jones Industrial Ave ETF Trust (DIA)					Sold	01/02/2019	\$15,000 or less
10.2	- Vanguard Funds Emerging Markets ETF (VWO)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
10.2.1	- Vanguard Funds Emerging Markets ETF (VWO)					Sold	01/02/2019	\$15,000 or less
10.3	- Mathews Fds Pacific Tiger (MAPTX)	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
10.3.1	- Mathews Fds Pacific Tiger (MAPTX)					Purchased	12/17/2019	\$15,000 or less
10.4	- IShares Core S&P Small-Cap ETF (IJR)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
10.4.1	- IShares Core S&P Small-Cap ETF (IJR)					Sold	01/02/2019	\$15,000 or less
10.4.2	- IShares Core S&P Small-Cap ETF (IJR)					Sold	07/12/2019	\$15,000 or less
10.5	- TD Ameritrade Insrd Dep Account	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
10.6	- SPDR Tr S&P500 ETF Tr (SPY)	\$1,000 or less	Dividend	\$100,001 - \$250,000	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
10.6.1	SPDR Tr S&P500 ETF Tr (SPY)						Sold	01/02/2019	\$15,000 or less
10.6.2	SPDR Tr S&P500 ETF Tr (SPY)						Sold	07/12/2019	\$15,000 or less
10.7	- PIMCO Real Return Fd	See Note	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
11	IRA #1 (H) F/K/A TD Ameritrade Brokerage Account (H)								
11.1	- TD Ameritrade Insrd Dep Account (Y)		\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
12	Brokerage #2 (H) F/K/A Charles Schwab Brokerage Account (H)								
12.1	- Schwab Deposit Account Money Market		\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
12.2	Equitable Life Assurance Society - Fixed Annuity		\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Estimated			
12.3	Safeco Life Insurance Company - Fixed Annuity		\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Estimated			
12.4	Colorado Bondshares		\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
13	IRA #2 (H) F/K/A TD Ameritrade IRA Rollover (H)								
13.1	- Brown Capital Management SM Company (BCSSX) F/K/A ALPS Brown Capital Small Company I Fd		\$1,001 - \$2,500	Dividend	\$15,000 or less	Cash Market			
13.2	- AQR Managed Futures Strategy R6		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
13.3	- Artisan Mid Cap Value Fund Advisor		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
13.4	- Blackrock Total Return (MPHQX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.5	- Bridgeway FD Inc Blue-Chip 35 Index Fd (BRLIX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
13.5.1	- Bridgeway FD Inc Blue-Chip 35 Index Fd (BRLIX)						Sold	06/27/2019	\$15,000 or less
13.6	- Buffalo Fds Mid Cap Fd (BUFMX)	See Note	None	Dividend	None	Cash Market			
13.7	- Dodge and Cox Funds Intl STK FD (DODFX)		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
13.7.1	- Dodge and Cox Funds Intl STK FD (DODFX)						Purchased	06/27/2019	\$15,000 or less
13.7.2	- Dodge and Cox Funds Intl STK FD (DODFX)						Sold	07/11/2019	\$15,000 or less
13.7.3	- Dodge and Cox Funds Intl STK FD (DODFX)						Purchased	09/25/2019	\$15,000 or less
13.8	- Dodge and Cox Funds Stock Fund (DODGX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.9	- Metropolitan West Total Return Bd (MWTSX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.9.1	- Metropolitan West Total Return Bd (MWTSX)						Sold	06/27/2019	\$15,000 or less
13.10	- Northern Fds Small Cap Fd (NOSGX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.10.1	- Northern Fds Small Cap Fd (NOSGX)						Purchased	06/27/2019	\$15,000 or less
13.11	- T Rowe Price High Yield (PRHYX)	See Note	None	None	None	Cash Market			
13.12	- T Rowe Price Emerging Mkts Stock (PRMSX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.13	- T Rowe Price Blue Chip Growth Fund (TRBCX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
13.13.1	- T Rowe Price Blue Chip Growth Fund (TRBCX)						Sold	07/11/2019	\$15,000 or less
13.14	- T Rowe Price Equity Income (REIPX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.15	- Franklin Templeton Investments Global Bond Advisor (TGBAX) F/K/A Templeton Global Bond Advisor (TGBAX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.15.1	- Templeton Global Bond Advisor (TGBAX)						Sold	09/26/2019	\$15,000 or less
13.16	- Thornburg International Value Inst (TGVIX)	See Note	None	None	None	Cash Market			
13.17	- Primecap Odyssey Stock Fd (POSKX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.17.1	- Primecap Odyssey Stock Fd (POSKX)						Sold	07/11/2019	\$15,000 or less
13.18	- Advisors Inner Circle II Champlain Mid Cap Instl Fd		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.18.1	- Advisors Inner Circle II Champlain Mid Cap Instl Fd						Sold	03/27/2019	\$15,000 or less
13.19	- Invesco Funds Oppenheimer Intl Growth (OIGIX) F/K/A Oppenheimer Intl Growth I		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
13.19.1	- Oppenheimer Intl Growth I						Purchased	03/27/2019	\$15,000 or less
13.20	- TCW Funds Emerging Markets	See Note	None	None	None	Cash Market			
13.21	- Vanguard Treasury Money Market Fund		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
13.22	- Lazard Emerging Markets Fd (LZEMX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
13.22.1	- Lazard Emerging Markets Fd (LZEMX)						Sold	03/27/2019	\$15,000 or less
13.23	- Mgd Portfolio Series Tortoise MLP & Pipeline I		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
14	Northwestern Mutual Life Ins Co, Whole Life Insurance Policy (X)		\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
15	Time Share Rental Property, Avon, CO (X)		\$5,001 - \$15,000	Rent	\$50,001 - \$100,000	Estimated			
16	Wells Fargo Certificates of Deposit		\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
17	DSL Real Estate	See Note	\$1,000 or less	None	\$15,000 or less	Cash Market			
18	1st SouthWest Bank cash account	See Note	None	None	\$15,000 or less	Cash Market			
19	Residential Rental Property #1, Los Angeles, CA	See Note	\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
20	Residential Rental Property #2, Los Angeles, CA	See Note	\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
21	Residential Rental Property #3, Los Angeles, CA	See Note	\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
22	Residential Rental Property (Triplex), Los Angeles, CA	See Note	\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
23	Chase Bank Savings Account	See Note	\$1,000 or less	Interest	\$250,001 - \$500,000	Cash Market			

Additional Information or Explanation

PART	#	NOTE
VII.	1	Alamosa County Treasurer assessed the value of the property at \$238,457.

PART	#	NOTE
VII.	10.7	The PIMCO Real Return Fd was reported on line 10.5 of my 2018 report
VII.	13.6	Buffalo Fds Mid Cap Value Fd (BUFMX) was sold in 2017 and was reported as sold on my 2017 report. It was reported inadvertently on my 2018 report.
VII.	13.11	T Rowe Price High Yield (PRHYX) was sold in 2017 and was reported as sold on my 2017 report. It was reported inadvertently on my 2018 report.
VII.	13.16	Thornburg International Value Inst (TGVIX) was sold in 2017 and was reported as sold on my 2017 report. It was reported inadvertently on my 2018 report.
VII.	13.20	TCW Funds Emerging Markets was sold in 2017 and was reported as sold on my 2017 report. It was reported inadvertently on my 2018 report.
VII.	17	DSL Real Estate was reported on line 13.23 of my 2018 report
VII.	18	1st SouthWest Bank cash account was reported on line 13.24 of my 2018 report
VII.	19	Residential Rental Property #1, Los Angeles, CA was reported on line 13.25 of my 2018 report. The property was appraised after receipt by inheritance.
VII.	20	Residential Rental Property #2, Los Angeles, CA was reported on line 13.26 of my 2018 report. The property was appraised after receipt by inheritance.
VII.	21	Residential Rental Property #3, Los Angeles, CA was reported on line 13.27 of my 2018 report. The property was appraised after receipt by inheritance.
VII.	22	Residential Rental Property (Triplex), Los Angeles, CA was reported on line 13.28 of my 2018 report. The property was appraised after receipt by inheritance.
VII.	23	Chase Bank Savings Account was reported on line 13.29 of my 2018 report