

EO-10
Rev. 1/83

FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-324, November 10, 1989
(5 U.S.C.A. App. 6, §§101-112)

1. Person Reporting (Last name, first, middle initial) Lucero, Carlos, F.	2. Court or Organization United States Court of Appeals for the 10th Circuit	3. Date of Report March 27, 1995
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) Judge (Active)	5. Report Type (check appropriate type) ☒ Nomination, Date _____ ☒ Initial Annual Final	6. Reporting Period January 1, 1994 to March 27, 1995
7. Chambers or Office Address Lucero, Lester & Sigmond 311 San Juan Avenue Alamosa, CO 81101	8. On the basis of the information contained in this Report, it is, in my opinion, in compliance with applicable laws and regulations _____ Reviewing Officer Signature _____	

IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts,
checking the NONE box for each section where you have no reportable information. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐ NONE (No reportable positions)	Carlos F. Lucero, Professional Corporation, a partner in Lucero, Lester & Sigmond, Attys.
President, Director, Employee	
Director	San Luis Valley Federal S & L (Mutual Assoc.)

(Continued on Schedule A, Part VIII)

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.)

DATE

PARTIES AND TERMS

☐ NONE (No reportable agreements)	Reporting person is entitled to compensation for professional services performed through date of appointment for Lucero, Lester & Sigmond pursuant to partnership agreement with his P.C.
1980	
1991	Reporting person has vested retirement benefits under the Defined Benefit Plan of the above partnership through the ABA

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE
(Honoraria only)

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)

☐ NONE (No reportable non-investment income)	Income at lines 1 & 2 below is aggregated for the period Jan. 1, 1992 to Sept. 16, 1994	
1	Carlos F. Lucero/Lucero, Lester & Sigmond	\$ 250,000.00*
2	Professional Corp.	
3	San Luis Valley Federal S & L director's fees	\$ 16,350.00
4		\$
5	*See note at Part VIII	\$
		\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Lucero, Carlos F.

Date of Report

March 27, 1995

IV. REIMBURSEMENTS and GIFTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCE	DESCRIPTION
☐ NONE (No such reportable reimbursements or gifts)	
1	EXEMPT
2	
3	
4	
5	
6	
7	
8	

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCE	DESCRIPTION	VALUE
☐ NONE (No such reportable gifts)		
1	EXEMPT	\$
2		\$
3		\$
4		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.16-18 of Instructions.)

CREDITOR	DESCRIPTION	VALUE CODE*
☐ NONE (No reportable liabilities)		
1 Commercial Federal Bank		
2 Cherry Creek, CO Branch	Secured line of credit	L
3		
4		
5		
6		
7	** See note at Part VIII	

* VALUE CODES: J = \$15,000 or less K = \$15,001 to \$50,000 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000
 N = \$250,001 to \$500,000 O = \$500,001 to \$1,000,000 P = More than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Lucero, Carlos F.

Date of Report

March 27, 1995

VII. INVESTMENTS AND TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets). Indicate, where applicable, owner of asset by using the parenthetical (S) for joint ownership of reporting individual and spouse, (S) for separate ownership by spouse, (DC) for ownership by dependent child. Place "(1)" after each asset except from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code (A-E)	(2) Type (div., rent or int.)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	If not exempt from disclosure				
					(1) Type (e.g., buy, sell, maturity, redemption)	(2) Date, month, Day	(3) Value Code (J-P)	(4) Gain Code (A-E)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
¹ (S) Commercial Bldg. Alamosa, CO	E	rent	M	W	Exempt (Initial Report)				
² (S) Apartments Alamosa, CO	D	rent	L	W					
³ Section farm land Conejos County, CO (J)	A	none	K	W					
⁴ 2/3 interest in comm. bldg., Alamosa, CO	E	rent	M	W					
⁵ Single unit rental Alamosa, CO	C	rent	K	W					
⁶ Los Hermanos Luceros, Ltd. Partnership 14% int.	D	div	M	U	(See note 1)				
⁷ Carlos F. Lucero, Prof. Corp. 100% of stock	E	div	M	U	(See note 2)				
⁸ LCM, Inc. 100% of stock (1) inc. pre-incorp. inc.	G	& int.	N	UT	(See note 3)				
⁹ ABA/State St. Bank, law partn'p Pension plan	C	& int.	M	UT					
¹⁰ Fidelity Investments Mutual Fund	E	& div	L	T					
¹¹ (S) Ski Valley Bankcorp. 4 shares (less than 1%)	A	div	J	U					
¹² Equitable Life Assurance Society Annuity on CFL	E	monthly paym't	M	W	(See note 4)				
¹³ Safeco Life Ins. Co. Annuity on CFL	D	monthly paym't	M	W	(See note 4)				
¹⁴ 36-acre vacant lot Jefferson Cty, CO	A	n/a	K	W					
¹⁵					NOTES				
¹⁶ Note 1. Assets over \$10,000 value consist of parents' family ranch, land, water, equipment, livestock & related property.									
¹⁷ Note 2. Assets over \$10,000 value consist of office furniture, equipment, furnishings & interest in Law Partnership.									
¹⁸ Note 3. Assets over \$10,000 value consist of U.S. Treasury bonds.									
¹⁹ Note 4. Income reported by Carlos F. Lucero, Professional Corp.									
²⁰									
¹ Income/Gain Codes: (See Col. B1 & D4)	A=\$1,000 or less	B=\$1,001 to \$2,500	C=\$2,501 to 5,000	D=\$5,001 to \$15,000					
² Value Codes: (See Col. C1 & D3)	E=\$15,001 to \$30,000	F=\$30,001 to \$100,000	G=\$100,001 to \$1,000,000	H=\$1,000,001 to \$10,000,000					
³ Value Method Codes: (See Col. C2)	J=\$15,000 or less	K=\$15,001 to \$50,000	L=\$50,001 to \$100,000	M=\$100,001 to \$250,000					
	N=\$250,001 to \$500,000	O=\$500,001 to \$1,000,000	P=More than \$1,000,000	Q=Cash/Market					
	U=Book Value	V=Cost (real estate only)	W=Assessment	X=Estimated					

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Lucero, Carlos F.

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VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)
SCHEDULE A PART I Continued

Vice President & Director	LCM, Inc. (Lucero Capital Management)
Limited Partner	Los Hermanos Luceros, Limited Partnership
Adjunct Professor	Adams State College, Alamosa, CO
Director	San Luis Valley Historical Society

*Note to Part III.

1993 and 1994 income is actual. 1995 is estimated.

Earnings from Carlos F. Lucero, Professional Corp. include pension plan contributions. Additional earnings paid by the P.C. as dividends in 1993 are reported at Part VII, line 7.

*Note to Part VI.

Other liabilities that exceed \$10,000 at some point during the reporting period, were:

Alamosa National Bank (J)	Promissory note
Charles Schwab & Co. (J)	Margin account
Master Charge, MBNA (J)	Line of credit

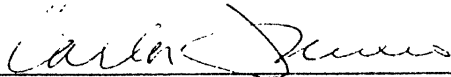
IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature



Date March 27, 1995

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544

FINANCIAL STATEMENT

NET WORTH

Carlos F. & Dorothy S. Lucero

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including delinquent mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	8,000	Notes payable to banks—secured	
U.S. Government securities—add schedule		Notes payable to banks—unsecured	
Listed securities—add schedule		Notes payable to relatives	
Unlisted securities—add schedule A	689,000	Notes payable to others	
Accounts and notes receivable:		Accounts and bills due	
Due from relatives and friends		Unpaid income tax	
Due from others		Other unpaid tax and interest	
Doubtful		Real estate mortgages payable—add schedule See AII line 2	75,000 ±
Real estate owned—add schedule AII	1,320,000	Chattel mortgages and other liens payable	
Real estate mortgages receivable		Other debts—itemize:	
Autos and other personal property	80,000	Commercial Fed. Bank	
Cash value—life insurance		Cherry Creek Branch, CO	
Other assets—itemize:			
Fidelity Investments	53,000		
ABA Pension Plan (vested)	130,000		
		Total liabilities	75,000
		Net worth	2,205,000
Total assets	2,280,000	Total liabilities and net worth	2,280,000
CONTINGENT LIABILITIES		GENERAL INFORMATION	
As endorser, cosigner or guarantor	0	Are any assets pledged? (Add schedule.)	no
On leases or contracts	0	Are you defendant in any suits or legal actions?	no
Legal Claims	0	Have you ever taken bankruptcy?	no
Provision for Federal Income Tax	0		
Other special debt	0		

Carlos F. Lucero 70 El Rio Dr., Alamosa, CO 81101 524-54-8389

SCHEDULE A

PART I (Unlisted Securities)

% Int.	Unlisted Security	Explanatory Note	Value
100%	Carlos F. Lucero Prof. Corp. (Colo.)	Incl. est. val. of annuities desc. above	\$375,000
100%	L C M, Inc. (Colo. Corp.)	Est. equity value of capital assets	300,000
14.15%	Los Hermanos Luceros	Est. Value included in Real Estate Below	
-1.0%	Sky Valley Bankcorp	4 shares in First National Bank in Alamosa	14,000
Subtotal PART I			689,000

PART II (Real Estate)			
Item	Address	Description	Value
1.	70 El Rio Drive Alamosa, CO 81101	Personal Residence	\$150,000
2.	1111 Race St., #14B Denver, CO 80206	Denver Apartment (\$75,000 Lien - Commercial Federal Bank, Cherry Creek Branch, Denver, Colorado)	260,000
3.	1407 Main St. Alamosa, CO 81101	Commercial Bldg. (owned by spouse)	160,000
4.	Main & Poncha Alamosa, CO 81101	5 unit Apartment (owned by spouse)	100,000
5.	Near Creede, CO	Mountain Cabin	60,000
6.	36 Acre Lot Jefferson Cty, CO	Vacant Lot	50,000

Item	Address	Description	Value
7.	1/4 Section Conejos Cty, CO	Farm Land (Used by Los Hermanos)	50,000
8.	311 San Juan Ave Alamosa, CO 81101	2/3 Int. in Law Office Building	200,000
9.	712 3rd St. Alamosa, CO 81101	Single Unit Rental	35,000
10.	13.38% Int. in Family Ranch Partnership	Los Hermanos Luceros (title in partnership)	175,000
11.	441 Cir. del Paladin Green Valley, AZ 8561	(Retirement Unit for Grandmother Stuart)	80,000
Subtotal PART II			1,320,000