

United States Court of Appeals
for the Tenth Circuit

CARLOS F. LUCERO
CIRCUIT JUDGE

1823 STOUT STREET
DENVER, COLORADO 80257
303-844-2200
FAX 844-2201

August 24, 2004

Judicial Conference of the United States
Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E., Suite 2-301
Washington, DC 20544

RE: Carlos F. Lucero, Calendar Year 2003 Filing

Dear Judge Lisi:

In response to your inquiry of July 30, 2004, regarding my 2003 financial disclosure report, enclosed please find three copies of my Amended Financial Disclosure Report -- Calendar Year 2003.

My CPA, who prepared these Amendments as well as the original report, asks that I advise that in paragraph 5 of your letter, "Hussman Invt TR Strategic Growth Fund" is indicated as not having been included in the 2003 report, when, in fact, it is listed on line 27 of Part VII thereof.

If any questions remain please advise.

Sincerely,

Carlos F. Lucero

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FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial)

Lucero, Carlos F

2. Court or Organization

US Court of Appeals - 10th Cir

3. Date of Report

5/12/2004

4. Title (Article III Judges indicate active or senior status;
magistrate judges indicate full- or part-time)

Article III Judge - Active

5. Report Type (check appropriate type)

☐ Nomination Date☐ Initial☒ Annual☐ Final

6. Reporting Period

1/1/2003

to

12/31/2003

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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. President & Director

Carlos F. Lucero, Professional Corporation

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)☒ **NONE** - (No reportable agreements.)DATEPARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE
D SOLICITORS

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2014

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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE1.

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. Estate of Maria Medina

Installment Note to purchase 1/2 interest in [REDACTED] acres, Rio Arriba County,
NM (Part VII, Line 35)

K

FINANCIAL DISCLOSURE REPORT

Page 1 of 2

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-I)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Commercial Building; Alamosa County, Colorado	E	Rent	M	W					
2. Apartments; Alamosa County, Colorado	E	Rent	M	W					
3. 1/4 Section Farm Land; Conejos County, Colorado	A	Rent	K	W					
4. Single Unit Rental; Alamosa County, Colorado	D	Rent	L	W					
5. Vacant Land; Las Vegas, Nevada (1/2 interest)		None			Sell	8/25	M	E	Secure Tech, Inc. Benefit Plan
6. Acre Vacant Lot; Jefferson County, Colorado		None	L	W					
7. Los Hermanos Luceros, Ltd. Partnership (14% interest)	B	Dividend	N	U	See *1				
8. Carlos F. Lucero, P.C. (100% of stock)	A	Dividend	K	U	See *2				
9. LCM, Inc. (100% of stock)	E	Dividend	O	T	See *3				
10. TD Waterhouse IRA Account	B	Dividend	N	T					
11. -- ADM Asia Pacific Growth Fund Class A					Buy	9/02	K		
12. -- FBR Family of Funds - Small Cap Financial Fund					Sell	7/21	K	D	
13. -- Invesco Energy Fund Class A					Sell	1/22	L		
14. -- Invesco Telecommunications Fund Class A					Sell	2/07	J		
15. -- Needham Growth Fund					Sell	2/05	K		
16. -- Needham Small Cap Growth Fund					Buy	2/25	K		
17. -- Sunamerica Focused Large Cap Growth Fund Class A					Buy	3/07	K		
18. -- Sunamerica Focused Multi Cap Value A					Buy	3/07	K		

1. Income/Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less (See Columns C1 and B3)	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
	N = \$250,001-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 2 of 2

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

VII. INVESTMENTS and TRUSTS

— income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. TD Waterhouse Brokerage Account:									
20. -- AIM Funds Group New Tech. Fund Class A	A	Dividend			Buy	3/12	K		
21.					Sell	7/21	K	D	
22. -- Dreyfus Premier Enterprise Fund Class A	A	Dividend	K	T	Buy	9/05	K		
23. -- FBR Family of Funds - Small Cap Financial Fund	A	Dividend			Sell	7/22	K	C	
24. -- AIM Asia Pacific Growth Fund Class A	A	Dividend	K	T	Buy	7/21	K		
25. -- Invesco Telecommunications Fund Class A	A	Dividend			Sell	2/12	K		
26. -- Harris Assoc. Invst. Trust - Oakmark Select	A	Dividend	K	T					
27. -- Hussman Invst. Trust - Strategic Growth Fund	A	Dividend	K	T					
28. Charles Schwab Brokerage Account:									
29. -- First Data Corporation	A	Dividend	K	T					
30. -- Schwab 1000 Fund	A	Dividend	K	T					
31. -- Schwab Muni Money Fund	A	Dividend	K	T	See *5				
32. Equitable Life Assurance Society (annuity on CFL)	D	Dividend	M	W					
33. Safeco Life Insurance Company (Annuity on CFL)	D	Dividend	M	W					
34. Colorado Bondshares Mutual Fund	E	Interest	N	T					
35. 1/2 Interest in 160 Acres Rio Arriba County, New Mexico		None	L	R	See *4				
36. Schwab Brokerage Acct - Schwab Govt Money Fund					See *6				

1. Income/Gain Codes: A = \$1,000 or less B = \$1,001-\$2,500 C = \$2,501-\$5,000 D = \$5,001-\$15,000 E = \$15,001-\$50,000
(See Columns B1 and D4) F = \$50,001-\$100,000 G = \$100,001-\$1,000,000 H1 = \$1,000,001-\$5,000,000 H2 = More than \$5,000,000
2. Value Codes: J = \$15,000 or less K = \$15,001-\$50,000 L = \$50,001-\$100,000 M = \$100,001-\$250,000
(See Columns C1 and D3) N = \$250,001-\$500,000 O = \$500,001-\$1,000,000 P1 = \$1,000,001-\$5,000,000 P2 = \$5,000,001-\$25,000,000
P3 = \$25,000,001-\$50,000,000 P4 = \$50,000,001-\$100,000,000 P5 = More than \$100,000,000
3. Value Method Codes Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash/Market
(See Column C2) U = Book Value V = Other W = Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

*1 - Assets over \$10,000 value consist of family ranch, land, water rights, equipment, livestock and related property.

*2 - Assets over \$10,000 value consist of office furniture, law partnership income earned prior to June 30, 1995. For tax purposes, annuity income from lines 32 and 33 is reported by CFL, P.C.

*3 - Assets over \$10,000 value consists of mutual funds.

*4 - 1/2 interest in 160 acres Rio Arriba County, New Mexico was purchased on 1/01 for \$50,174 by the Estate of Maria Medina.

*5 - Schwab Muni Money Fund was purchased on 9/03 for value code M.

Partial sales during the year include: 9/30 - value code K

10/17 - value code J

12/29 - value code L

*6 - Values and income of asset listed on page 2, Part VII, line 36 have declined below reporting value.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

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

Signature _____

Date _____

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) Lucero, Carlos F	2. Court or Organization US Court of Appeals - 10th Cir	3. Date of Report 5/12/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge - Active	5. Report Type (check appropriate type) ☐ Nomination, Date _____ ☒ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. President & Director

Carlos F. Lucero, Professional Corporation

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1.

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1.

VL LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. Estate of Maria Medina

Installment Note to purchase 1/2 interest in [REDACTED] acres, Rio Arriba County,
NM (Part VII, Line 35)

K

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)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. ☒ Commercial Building; Alamosa County, Colorado	E	Rent	M	W					
2. ☒ Apartments; Alamosa County, Colorado	E	Rent	M	W					
3. ☒ 1/4 Section Farm-Land; Conejos County, Colorado	A	Rent	K	W					
4. Single Unit Rental; Alamosa County, Colorado	D	Rent	L	W					
5. ☒ Vacant Land; Las Vegas, Nevada (1/2 interest)					Sell	8/25	M	E	Secure Tech, Inc. Benefit Plan
6. ☒ Acre Vacant Lot; Jefferson County, Colorado		None	L	W					
7. Los Hermanos Luceros, Ltd. Partnership (14% interest)	B	Dividend	N	U	See *1				
8. Carlos F. Lucero, P.C. (100% of stock)	A	Dividend	K	U	See *2				
9. ☒ LCM, Inc. (100% of stock)	E	Dividend	O	T	See *3				
10. TD Waterhouse IRA Account	B	Dividend	N	T					
11. - AIM Asia Pacific Growth Fund Class A					Buy	9/02	K		
12. - FBR Family of Funds - Small Cap Financial Fund					Sell	7/21	K	D	
13. - Invesco Energy Fund Class A					Sell	1/22	L		
14. - Invesco Telecommunications Fund Class A					Sell	2/07	J		
15. - Needham Growth Fund					Sell	2/05	K		
16. - Needham Small Cap Growth Fund					Buy	2/25	K		
17. - Sunamerica Focused Large Cap Growth Fund Class A					Buy	3/07	K		
18. - Sunamerica Focused Multi Cap Value A					Buy	3/07	K		

1. Income/Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
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FINANCIAL DISCLOSURE REPORT

Page 2 of 2

Name of Person Reporting
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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 I (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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. TD Waterhouse Brokerage Account:									
20. -- AIM Funds Group New Tech. Fund Class A	A	Dividend			Buy	3/12	K		
21.					Sell	7/21	K	D	
22. -- Dreyfus Premier Enterprise Fund Class A	A	Dividend	K	T	Buy	9/05	K		
23. -- FBR Family of Funds - Small Cap Financial Fund	A	Dividend			Sell	7/22	K	C	
24. -- AIM Asia Pacific Growth Fund Class A	A	Dividend	K	T	Buy	7/21	K		
25. -- Invesco Telecommunications Fund Class A	A	Dividend			Sell	2/12	K		
26. -- Harris Assoc. Invlt. Trust - Oakmark Select	A	Dividend	K	T					
27. -- Hussman Invlt. Trust - Strategic Growth Fund	A	Dividend	K	T					
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31. -- Schwab Muni Money Fund	A	Dividend	K	T					
32. Equitable Life Assurance Society (annuity on CFL)	D	Dividend	M	W					
33. Safeco Life Insurance Company (Annuity on CFL)	D	Dividend	M	W					
34. Colorado Bondshares Mutual Fund	E	Interest	N	T					
35. 1/2 Interest in Acres Rio Arriba County, New Mexico		None	L	R	Buy	1/01	L		Estate of Maria Medina

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
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(See Columns C1 and D5)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 2 of 2

Name of Person Reporting

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25. -- Invesco Telecommunications Fund Class A	A	Dividend			Sell	2/12	K		
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35. 1/2 Interest in 1.00 Acres Rio Arriba County, New Mexico		None	L	R	Buy	1/01	L		Estate of Maria Medina

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Lucero, Carlos F

Date of Report

5/12/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

*1 - Assets over \$10,000 value consist of ~~real estate~~ ranch, land, water rights, equipment, livestock and related property.

*2 - Assets over \$10,000 value consist of office furniture, law partnership income earned prior to June 30, 1995. For tax purposes, annuity income from lines 32 and 33 is reported by CFL, P.C.

*3 - Assets over \$10,000 value consists of mutual funds.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Luccero, Carlos F

Date of Report

5/12/2004

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

Signature

Date

May 13, 2004

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544