

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
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.)

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

05/13/2016

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 Irvine School of Law	2/01-2/03	Irvine, CA	Non-FJC Edu Seminar	Transportation, Food, Lodging
2. Yale University	4/12-4/13	New Haven, CT	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

05/13/2016

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, N.M.	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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. (S) COMMERCIAL BUILDING, ALAMOSA COUNTY, CO		None	K	W					
2. (S) APARTMENTS, ALAMOSA COUNTY, CO	B	Rent	K	W					
3. (J) 1/4 SECTION FARM LAND; CONEJOS COUNTY, CO	A	Rent	K	W					
4. Vacant Land, Conejos County Co		None	J	S					See # 6
5. 1/2 INTEREST IN 160 ACRES RIO ARRIBA COUNTY, NM		None	M	Q					See # 4
6. 36 ACRE VACANT LOT; JEFFERSON COUNTY, CO		None	K	S					See #7
7. LOS HERMANOS LUCEROS, LTD PARTNERSHIP (14% INTEREST)	C	Distribution	M	U					See # 1
8. CARLOS F. LUCERO, PC (100% STOCK)	E	Dividend	J	U					See # 2
9. (J) LCM, INC.	D	Int./Div.	M	U					See # 3
10. TD AMERITRADE IRA BROKERAGE ACCOUNT									
11. SPDR Dow Jones (DIA)	A	Dividend	K	T					
12. Spdr Tr Unit Ser 1 (SPY)	B	Dividend	L	T					
13. Vanguard Funds Emerging Markets Vipers (VWO)	A	Dividend	J	T					
14. Mathews Intl FDS Pacific Tiger (MAPTX)	A	Dividend	L	T	Buy (add'l)	12/11/15	J		
15. PIMCO Real Return (PRRDY)	A	Dividend	L	T					
16. iShares Core S&P Small-Cap ETF (IJR)	A	Dividend	L	T					
17. Money Market Fund TDAM	A	Interest	J	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000 R = More than \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,001 - \$500,000	P = \$500,001 - \$1,000,000 R = More than \$1,000,000
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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. (J) TD AMERITRADE BROKERAGE ACCOUNT									
19. Money Market Fund TDAM	A	Interest	J	T					
20. (J) CHARLES SCHWAB & CO, INC. BROKERAGE ACCOUNT									
21. --SCHWAB BROKERAGE DEPOSIT ACCOUNT	A	Interest	J	T					
22. --EQUITABLE LIFE ASSURANCE SOCIETY--ANNUITY	D	Dividend	M	W					See # 2
23. --SAFECO LIFE INSURANCE COMPANY--ANNUITY	D	Dividend	M	W					See # 2
24. --COLORADO BONDSHARES	D	Dividend	N	T					
25. (S) LCM 3, LLC		None	J	W					See # 5
26. (S) Viento Claro Energy, LLC		None	J	W	Closed	12/31/15	J	A	
27. TD AMERITRADE ACCT - ROLLOVER IRA									
28. ALPS Brown Capital Small Company (BCSSX)	B	Dividend	J	T					
29. AQR Managed Futures (AQMRX)	A	Dividend	J	T	Sold (part)	01/07/15	J		
30.					Sold (part)	03/25/15	J		
31. Artisan Mid CapValue (APDQX)	A	Dividend	J	T					
32. Berwyn FD INC COM (BERWX)	A	Dividend			Sold	03/25/15	J		
33. Blackrock Total Return (MPHQX)	A	Dividend	J	T	Buy (add'l)	03/25/15	J		
34. Bridgeway FD INC Blue-Chip 35 Index FD (BRLIX)	A	Dividend	J	T	Buy (add'l)	01/07/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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)
35.					Sold (part)	07/17/15	J		
36.					Sold (part)	09/25/15	J		
37. Bussalo FDS Mid Cap FD (BUFMX) * now Buffalo FDS Mid Cap Fd (BUFMX)	A	Dividend	J	T	Buy (add'l)	03/25/15	J		
38.					Buy (add'l)	06/24/15	J		
39. Dodge and Cox Funds Intl STK FD (DODFX)	A	Dividend	J	T	Sold (part)	07/17/15	J		
40. Dodge and Cox Funds Stock Funds (DODGX)	A	Dividend	K	T	Sold (part)	07/17/15	J		
41. ING Real Estate FD CL 1 (IGLIX) * now VOYA Global Real Estate (IGLIX)	A	Dividend	J	T					
42. Jensen Quality Growth (JENIX)	A	Dividend	J	T	Sold (part)	06/24/15	J		
43.					Sold (part)	07/15/15	J		
44. Metropolitan West TOT RET BD CL 1 (MWTIX)	A	Dividend	J	T	Sold (part)	01/07/15	J		
45.					Sold (part)	07/17/15	J		
46.					Sold (part)	09/25/15	J		
47. Northern FDS Small Cap Fd (NOSGX)	A	Dividend	J	T	Buy (add'l)	03/25/15	J		
48.					Buy (add'l)	06/24/15	J		
49. Pimco Real Return Fd Instl Cl (PRRIX)	B	Dividend	J	T	Buy	01/07/15	J		
50. T Rowe Price High Yield (PRHYX)	A	Dividend	J	T	Buy	09/25/15	J		
51. SSGA FDS EMERG MKTS Select (SEMSX)	A	Dividend			Sold	01/07/15	J		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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)
52. T Rowe Price EMERG MKTS Select (PRMSX)	A	Dividend	J	T	Buy (add'l)	01/07/15	J		
53.					Buy (add'l)	03/25/15	J		
54.					Sold (part)	07/17/15	J		
55. T Rowe Price Blue Chip Growth Fund (TRBCX)	A	Dividend	J	T	Sold (part)	03/25/15	J		
56.					Sold (part)	07/17/15	J		
57. T Rowe Price Equity Income F SH BEN INT (PRFDX) (PRFDX)	A	Dividend	J	T	Buy (add'l)	03/25/15	J		
58. Templeton Global Bond Advisor (TGBAX)	A	Dividend	J	T					
59. Thornburg INTERNTL Value INST (TGVIX)	A	Dividend	J	T	Sold (part)	01/07/15	J		
60. DSL Real Estate	A	Dividend	J	U					

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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 held in partnership with family 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 spouse. 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.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/13/2016

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