

SELF INITIATED
AMENDMENT

United States Court of Appeals
for the Tenth Circuit

CARLOS F. LUCERO
CIRCUIT JUDGE

1823 STOUT STREET
DENVER, COLORADO 80257

303-844-2200

May 18, 2010

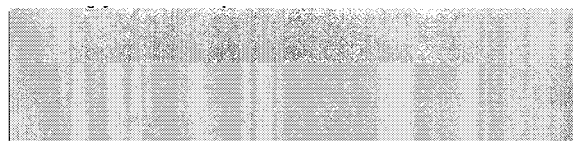
Committee On Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E., Suite 2-301
Washington, D.C. 20544

Ladies and Gentlemen:

Please allow this letter to serve as an amendment to part IV of my financial Disclosure Report for Calendar Year 2009. The below was inadvertently admitted from the report. Thank you.

RECEIVED
2010 MAY 24 11:23
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Source	Dates	Location	Purpose	Items Paid or Provided
Environmental Law Institute; US Dept. of Justice	3/18 - 3/19/09	Santiago, Chile	Non-FHC Educational Seminar	Transportation, Food, Lodging



Carlos F. Lucero

CFL/sm
enclosures

Lucero, Carlos F.

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/15/2010
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 01/01/2009 to 12/31/2009
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. PRESIDENT & DIRECTOR	CARLOS F. LUCERO, PROFESSIONAL CORPORATION
2.	
3.	
4.	
5.	

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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.	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Monthly	Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for law firm.	\$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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	3/16-3/17	Panama City, Panama	Non-FJC Edu Seminar	Transportation, Food, Lodging
2. American Bar Association	10/9/2009	Washington D.C.	Non-FJC Edu Seminar	Transportation, Food, Lodging
3. New York University Law School	2/21 - 2/23	New York, NY	Non-FJC Edu	Transportation, Food, Lodging
4.				
5.				

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Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

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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 [REDACTED] [REDACTED] RIO ARriba COUNTY, N.M.	K
2.		
3.		
4.		
5.		

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Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

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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	F	Rent	K	W					
2. ☐ APARTMENTS, ALAMOSA COUNTY, CO	E	Rent	M	W					
3. ☐ 1/4 SECTION FARM LAND; CONEJOS COUNTY, CO	A	Rent	K	W					
4. Vacant Land, Conejos County Co		None	K	R					
5. 1/2 INTEREST IN ☐ RIO ARRIBA COUNTY, NM		None	M	Q					See # 4
6. ☐ VACANT LOT; JEFFERSON COUNTY, CO		None	M	S					
7. LOS HERMANOS LUCEROS, LTD PARTNERSHIP (14% INTEREST)	A	Dividend	M	U					See # 1
8. CARLOS F. LUCERO, PC (100% STOCK)	E	Dividend	J	U					See # 2
9. ☐ LCM, INC. (100% MUTUAL FUNDS)	E	Dividend	N	T					See # 3
10. TD AMERITRADE IRA BROKERAGE ACCOUNT									
11. Diamonds Trust Series 1Com (DIA)	A	Dividend	K	T					
12. Powershares QQQ (QQQQ)	A	Dividend	K	T					
13. Proshares Ultra QQQ (QLD)		None			Sold	12/15/09	J		
14. Spdr Tr Unit Ser 1 (SPY)	A	Dividend	K	T					
15. Vanguard Funds Emerging Markets Vipers (VWC)	A	Dividend	J	T					
16. Prudent Global Inc FD SH BEN INT (PSAIFX)	A	Dividend	K	T					
17. Harbor FD BD FD INSTL (HABIDX)	A	Dividend	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 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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Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2010

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				
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18. Mathews Intl FDS Pacific Tiger (MAPTX)	A	Dividend	K	T					
19. Payden Invst Emerging Markets BD FD (PYEMX)	A	Dividend	J	T					
20. Payden Invst Group GNMA (PYGNX)	A	Dividend	J	T					
21. PIMCO Funds Invest Grade Corp BD FD (PGCAX)	A	Dividend	K	T					
22. PIMCO High Yield FD ADMIN (PHYAX)	A	Dividend	K	T					
23. PIMCO Real Return (PRRDX)	A	Dividend	L	T					
24. Ishares S&P Small Cap 600 Index	A	Dividend	K	T					
25. Money Market Fund TDAM US Government Port Class A		None	J	T					
26. Harbor FD High Yield Bond Fund (HYFIX)	A	Dividend	J	T	Buy	06/12/09	J		
27. TD AMERITRADE BROKERAGE ACCOUNT		None							
28. Diamond Trust Series I COM (DIA)	A	Dividend	K	T					
29. Shares Boxx & INV'TOP INVES FD (LQD)	A	Dividend	K	T					
30. PIMCO Corp Opportunity Fund Closed End (PTY)	A	Dividend	J	T					
31. Powershares QQQ (QQQQ)	A	Dividend	K	T					
32. SPDR TR Unit Ser 1 (SPY)	A	Dividend	K	T					
33. Vanguard Msci US MID Cap 450 INDEX (VO)	A	Dividend	J	T					
34. Diamond Hill FDS Long-Short FD C1 A	A	Dividend			Sold	06/09/09	K	A	

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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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Name of Person Reporting

LUCERO, CARLOS F.

Date of Report

05/15/2010

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. Leuthold Core Investments FD (LCORX)	A	Dividend	K	T					
36. PIMCO Total Ret Fd Admin	A	Dividend	K	T					
37. Money Market Fund Dividends TDAM US Government Port Class A		None	J	T					
38. Vanguard Conv Secs FD SH BEN INT		None	J	T					see # 6
39. Fidelity Advisor Ser V Floating RT HI INC FD Retail (FFRHX)		None	K	T	Buy	06/09/09	K		
40. CHARLES SCHWAB & CO, INC. BROKERAGE ACCOUNT		None							
41. --SCHWAB MUNI MONEY FUND			J	T					
42. --EQUITABLE LIFE ASSURANCE SOCIETY--ANNUITY	D	Dividend	M	W					See # 2
43. --SAFECO LIFE INSURANCE COMPANY--ANNUITY	D	Dividend	M	W					See # 2
44. --COLORADO BONDSHARES	E	Dividend	N	T					
45. LCM 3, LLC	A	Distribution	J	S					See # 5
46. Viento Claro Energy, LLC		None	J	U	Buy	02/24/09	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	

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LUCERO, CARLOS F.

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

#1. Assets over \$10,000 value consist of [REDACTED] ranch, land, water rights, equipment, livestock and related property.

#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, i.e. the value is less than \$5,000 and the income earned is less than \$200. 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 [REDACTED] 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. Income in 2009 was the result of refunds of prior year fees.

#6. Vanguard Conv Secs FID SII BEN INT line 38 of section 7 was not listed in the previous year report in error. This fund was purchased 12/10/2008 value code J.

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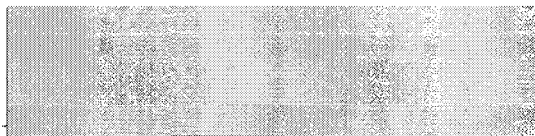
05/15/2010

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



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