

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 09/17/2018
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 01/01/2017 to 12/31/2017
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President and 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.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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LUCERO, CARLOS F.

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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.)*

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. The University of North Carolina Law School	February 3, 2017 - February 5, 2017	Chapel Hill, NC	Non-FJC Educational Seminar	Transportation, food and lodging
2. The University of Tennessee Law School	October 18 - 20, 2017	Knoxville, TN	Non-FJC Educational Seminar	Transportation, food and lodging
3.				
4.				
5.				

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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 160 acres, Rio Arriba County, New Mexico	K
2.			
3.			
4.			
5.			

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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		None	K	W					
2. Apartments, Alamosa County, CO	E	Rent	K	W					
3. 1/4 Section Farm Land; Conejos County, CO	A	Rent	K	W					
4. Vacant Land, Conejos County Co		None	J	W					
5. 1/2 Interest in 160 Acres Rio Arriba County, NM (See Note 1)		None	M	W					
6. 36 Acre Vacant Lot, Jefferson County, CO		None	K	W					
7. Los Hermanos Luceros, Ltd Partnership (14% Interest) (See Note 2)		None	M	U					
8. Carlos F. Lucero, PC (100% Stock) (See Note 3)		None	J	U					
9. LCM, Inc TD Ameritrade Brokerage Account (H) (See Note 4)									
10. - TD Ameritrade IDA Interest Money Market	A	Interest	J	T					
11. - iShares TIPS Bond ETF (TIP) (See Note 4)	B	Dividend	L	T					
12. - Payden Low Duration Fund (PYSBX) (See Note 4)	A	Dividend	J	T					
13. - Pimco Low Duration Fd (PLDDX) (See Note 4)	A	Dividend	J	T					
14. - T Rowe Price Short Term Bond (PRWBX) (See Note 4)	A	Dividend	J	T					
15. TD Ameritrade IRA Brokerage Account (H)									
16. - SPDR Dow Jones Industrial Ave ETF Trust (DIA)	A	Dividend	K	T					
17. - SPDR Tr S&P500 ETF Tr (SPY)	B	Dividend	M	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 \$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	

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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)

18. - Vanguard Funds Emerging Markets ETF (VWO)	A	Dividend	J	T					
19. - Mathews Fds Pacific Tiger (MAPTX)	A	Dividend	L	T					
20. - PIMCO Real Return Fd (PRRD)	A	Dividend	K	T					
21. - iShares Core S&P Small-Cap ETF (IJR)	B	Dividend	L	T					
22. - TD Ameritrade Insrd Dep Account (Note 4)	A	Interest	K	T					
23. TD Ameritrade Brokerage Account (H)									
24. - TD Ameritrade Insrd Dep Account (Note 5)	A	Interest	J	T					
25. Charles Schwab Brokerage Account (H)									
26. - Schwab Deposit Account Money Market	A	Interest	J	T					
27. Equitable Life Assurance Society - Fixed Annuity	D	Dividend	M	W					
28. Safeco Life Insurance Company - Fixed Annuity	D	Dividend	M	W					
29. Colorado Bondshares	D	Dividend	N	T					
30. TD Ameritrade IRA Rollover (H)									
31. - ALPS Brown Capital Small Company I Fd (Note 6)	B	Dividend	J	T	Buy (add'l)	01/06/17	J		
32.					Sold (part)	06/20/17	J	A	
33. - AQR Managed Futures Strategy R6 (Note 7)	A	Dividend	J	T					
34. - Artisan Mid Cap Value Fund Advisor (Note 8)	A	Dividend	J	T	Sold (part)	03/28/17	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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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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35. - Blackrock Total Return (MPHQX)	A	Dividend	J	T	Buy (add'l)	03/28/17	J	A	
36. - Bridgeway FD Inc Blue-Chip 35 Index Fd (BRLIX)	A	Dividend	K	T					
37. - Buffalo Fds Mid Cap Fd (BUFMX)	A	Dividend			Buy (add'l)	03/28/17	J		
38.					Sold	09/27/17	J	A	
39. - Dodge and Cox Funds Intl STK FD (DODFX)	A	Dividend	J	T	Buy (add'l)	06/20/17	J		
40.					Sold (part)	08/11/17	J	A	
41.					Buy (add'l)	09/27/17	J		
42. - Dodge and Cox Funds Stock Fund (DODGX)	A	Dividend	J	T	Buy (add'l)	01/06/17	J		
43.					Sold (part)	08/11/17	J	A	
44.					Sold (part)	09/27/17	J	A	
45. - Metropolitan West Total Return Bd (MWTSX)	A	Dividend	J	T					
46. - Northern Fds Small Cap Fd (NOSGX)	A	Dividend	J	T	Sold (part)	01/06/17	J	A	
47. - T Rowe Price High Yield (PRHYX)					Sold	01/06/17	J	A	
48. - T Rowe Price Emerging Mkts Stock (PRMSX)	A	Dividend	J	T	Buy (add'l)	01/06/17	J		
49.					Sold (part)	06/20/17	J	A	
50.					Sold (part)	08/11/17	J	A	
51.					Sold (part)	09/27/17	J	A	

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	
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52. - T Rowe Price Blue Chip Growth Fund (TRBCX)	A	Dividend	J	T	Buy (add'l)	03/28/17	J		
53.					Sold (part)	06/20/17	J	A	
54.					Sold (part)	08/11/17	J	A	
55. - T Rowe Price Equity Income (REIPX)	A	Dividend	J	T	Sold (part)	03/28/17	J	A	
56.					Sold (part)	08/11/17	J	A	
57.					Sold (part)	09/27/17	J	A	
58. - Templeton Global Bond Advisor (TGBAX)	A	Dividend	J	T					
59. - Thornburg International Value Inst (TGVIX)		None			Sold	01/06/17	J	A	
60. - Primecap Odyssey Stock Fd (POSKX)	A	Dividend	J	T					
61. - Advisors Inner Circle II Champlain Mid Cap Instl Fd	A	Dividend	J	T	Buy	09/27/17	J		
62. - Oppenheimer Intl Growth I	A	Dividend	J	T	Buy	01/06/17	J		
63.					Buy (add'l)	09/27/17	J		
64. - T Rowe Price Instl Floating Rate	A	Dividend	J	T	Buy	06/20/17	J		
65. - TCW Funds Emerging Markets		None			Buy	01/06/17	J		
66.					Sold	06/20/17	J		
67. - Vanguard Treasury Money Market Fund	A	Dividend	J	T	Buy	08/14/17	J		
68.					Sold (part)	08/15/17	J		

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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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69. DSL Real Estate	A	Dividend	J	U					
70. 1st SouthWest Bank cash account		None	J	T					
71. Residential Rental Property #1, Los Angeles, CA	E	Rent	O	W					
72. Residential Rental Property #2, Los Angeles, CA	E	Rent	O	W					
73. Residential Rental Property #3, Los Angeles, CA	E	Rent	O	W					
74. Residential Rental Property (Triplex), Los Angeles, CA	F	Rent	O	W					
75. Chase Bank Savings Account	B	Interest	O	T					
76. Marine Clerks Association Life Insurance (Y)									
77. Wells Fargo Certificates of Deposit	A	Interest	J	T					

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

- 1) Line 5 - 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).
- 2) Line 7 - Assets over \$10,000 value consist of family ranch, land, water rights, equipment, livestock and related property held in partnership with family members.
- 3) Line 8 - 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.
- 4) Line 22 - TD Ameritrade Insrd Dep Account was formerly known as TD Ameritrade Interest Money Market Fund
- 5) Line 24 - TD Ameritrade Insrd Dep Account was formerly known as TD Ameritrade Interest Money Market Fund
- 6) Line 31 - ALPS Brown Capital Small Company I Fd was formerly known as ALPS Brown Capital Small Company (BCSSX)
- 7) Line 33 - AQR Managed Futures Strategy R6 was formerly known as AQR Managed Futures Strategy (AQMRX)
- 8) Line 34 - Artisan Mid Cap Value Fund Advisor was formerly known as Artisan Mid Cap Value Advisor (APDQX)
- 9) This report was prepared on my behalf by my accountant.

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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
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Washington, D.C. 20544