AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Lucero, Carlos F.	US COURT OF APPEALS - 10TH CIR	07/01/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
ARTICLE III JUDGE-ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	President and Director	Carlos F. Lucero, Professional Corporation
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2020	Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for former clients- Fixed Retirement / Pension Benefits	$22,300.00
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
1.		
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Lucero, Carlos F.	07/01/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Land, Alamosa County, CO		None	M	W					
2.	Apartments, Alamosa County, CO	E	Rent	M	W					
3.	1/4 Section Farm Land; Conejos County, CO	A	Rent	M	W					
4.	Vacant Land, Conejos County CO (Y)									
5.	1/2 Interest in 160 Acres Rio Arriba County, NM		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)					Distributed	01/01/21	P1		
8.	800 Acres Agricultural Land, Conejos County, CO (X) (See Note 2)	B	Rent	P1	W					
9.	Carlos F. Lucero, PC (100% Stock)		None	J	U					
10.	Brokerage #1 (H)									
11.	- TD Ameritrade IDA Interest Money Market	A	Interest	K	T					
12.	- IShares TIPS Bond ETF	B	Dividend	L	T					
13.	- Payden Low Duration Fund	A	Dividend	J	T					
14.	- Pimco Low Duration Fd	A	Dividend	J	T					
15.	- T Rowe Price Short Term Bond	A	Dividend	K	T					
16.	IRA #1 (H)									
17.	- SPDR Dow Jones Industrial Ave ETF Trust	A	Dividend	K	T	Sold (part)	3/23/21	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

Name of Person Reporting	Date of Report
Lucero, Carlos F.	07/01/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.					Sold (part)	11/20/21	J	B	
19. - Vanguard Funds Emerging Markets ETF	A	Dividend	J	T	Sold (part)	12/28/21	J	A	
20. - Mathews Fds Pacific Tiger	A	Dividend	L	T	Buy	12/15/21	K		
21.					Sold (part)	12/28/21	J	B	
22. - IShares Core S&P Small-Cap	B	Dividend	M	T	Sold (part)	12/28/21	J	C	
23. - TD Ameritrade Insrd Dep Account	A	Interest	K	T					
24. - SPDR Tr S&P500 ETF Tr	B	Dividend	M	T	Sold (part)	12/28/21	J	D	
25. - PIMCO Real Return Fd	B	Dividend	K	T	Sold (part)	12/28/21	J	A	
26. Brokerage #2 (H)									
27. - Schwab Deposit Account Money Market	A	Interest	J	T					
28. Equitable Life Assurance Society - Fixed Annuity	D	Dividend	M	W					
29. Symetra Life Ins Co - Fixed Annuity	D	Dividend	M	W					
30. Colorado Bondshares	D	Dividend	N	T					
31. IRA #2 (H)									
32. - Brown Capital Management SM Company	A	Dividend	J	T					
33. - AQR Managed Futures Strategy R6	A	Dividend			Sold (part)	03/25/21	J		
34.					Sold	09/27/21	J	A	

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G =$100,001 - $1,000,000
H1 =$1,000,001 - $5,000,000
H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
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M =$100,001 - $250,000
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35. - Artisan Mid Cap Value Fund Advisor	A	Dividend	J	T	Sold (part)	12/28/21	J	A	
36. - Blackrock Total Return	A	Dividend	J	T	Buy (add'l)	04/30/21	J		
37.					Buy (add'l)	06/07/21	J		
38.					Sold (part)	12/28/21	J		
39. - Bridgeway FD Inc Blue-Chip 35 Index Fd	A	Dividend	J	T	Sold (part)	01/07/21	J	A	
40. - Dodge and Cox Funds Intl STK FD	A	Dividend	K	T	Sold (part)	03/25/21	J	A	
41.					Sold (part)	07/06/21	J	A	
42.					Sold (part)	12/28/21	J	A	
43. - Dodge and Cox Funds Stock Fund	A	Dividend	J	T	Buy (add'l)	09/27/21	J		
44. - Metropolitan West Total Return Bd	A	Dividend	J	T	Buy (add'l)	03/25/21	J		
45. - Northern Fds Small Cap Fd	A	Dividend	J	T					
46. - T Rowe Price Emerging Mkts Stock	A	Dividend	J	T	Buy	09/27/21	J		
47. - T Rowe Price Blue Chip Growth Fund	A	Dividend	J	T	Buy (add'l)	01/07/21	J		
48. - T Rowe Price Equity Income	A	Dividend	J	T	Sold (part)	03/10/21	J	A	
49.					Sold (part)	04/30/21	J	A	
50. - Primecap Odyssey Stock Fd	A	Dividend	J	T					
51. - Advisors Inner Circle II Champlain Mid Cap Instl Fd	A	Dividend	J	T	Sold (part)	04/30/21	J	A	

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52.						Sold (part)	12/28/21	J	A	
53.	- Invesco Funds Oppenheimer Intl Growth (OIGIX)	C	Dividend	K	T	Buy (add'l)	12/14/21	J		
54.						Sold (part)	12/28/21	J	A	
55.	- Vanguard Treas Money Mkt	A	Dividend	J	T					
56.	- Lazard Emerging Markets Fd	A	Dividend	J	T	Sold (part)	09/27/21	J	A	
57.	- Mgd Portfolio Series Tortoise MLP & Pipeline I	A	Dividend	J	T	Sold (part)	01/07/21	J		
58.						Sold (part)	06/07/21	J		
59.	- Legg Mason Funds Western Asset Core Bond	A	Dividend	J	T	Buy	09/27/21	J		
60.	Northwestern Mutual Life Ins Co, Whole Life Insurance Policy (X)	D	Dividend	M	T					
61.	Time Share Rental Property Avon, Eagle County, CO	D	Rent	K	W					
62.	Wells Fargo Certificates of Deposit (Y)									
63.	DSL Real Estate (a private partnership owned by filer's spouse)		None	J	T					
64.	1st SouthWest Bank cash account		None	J	T					
65.	1. Residential Rental Property Los Angeles County, CA	E	Rent	O	W					
66.	2. Residential Rental Property Los Angeles County, CA	E	Rent	O	W					
67.	3. Residential Rental Property Los Angeles County, CA	E	Rent	O	W					
68.	Residential Rental Property (Triplex), Los Angeles County, CA	E	Rent	O	W					

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69.	Chase Bank Savings Account	A	Interest	M	T					
70.	San Luis Valley Federal Bank cash account (X)	A	Interest	K	T					

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

1) This report was prepared on my behalf by my accountant.

2) Lines 7 and 8 - 800 Acres Agricultural Land, Conejos County, CO (Line 8 of my report) were distributed in dissolution of Los Hermanos Luceros, Ltd Partnership (line 7 of my report).

Name of Person Reporting	Date of Report
Lucero, Carlos F.	07/01/2023

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544