

Judiciary Branch Personnel Financial Disclosure Report (AO Form 10)

Filer's Information

Lucero, Carlos F

Report Year: 2018

Electronic Signature - I certify that all information provided (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.

I further certify that earned income and honoraria and 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.

/s/ Carlos F Lucero [electronically signed on 05/15/2019 by Carlos F Lucero in JEPS]

Certifying Official- I conclude that, based on the information contained in this report and to the best of my knowledge, this report is in compliance with the Ethics in Government Act, as amended, and other applicable laws and regulations.

General Comments:

COMMENT

1) Line 5 - Land was purchased on January 1, 2013 for \$50,174 from the estate of Maria Medina, property was subject to mortgage (part VI, line 1) that was paid-in-full during 2018.

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Carlos F. Lucero, Professional Corporation	Corporation	President and Director

II. Agreements

None

III A. Filer's Non-Investment Income

#	SOURCE	INCOME TYPE	INCOME AMOUNT
1	Carlos F. Lucero, P.C. - Annuity payments received for prior services performed for former clients	Annuity payments	\$22,300

III B. Spouse's Non-Investment Income

None

IV. Reimbursements

#	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1	University of North Carolina	02/01/2018 - 02/03/2018	Chapel Hill, NC	Non-FJC Educational Seminar	Transportation, food, and lodging
2	University of Alabama	03/27/2018 - 03/29/2018	Tuscaloosa, AL	Non-FJC Educational Seminar	Transportation, food, and lodging

#	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
3	International Association of Trial Lawyers	07/19/2018 - 07/21/2018	Colorado Springs, CO	Non-FJC Educational Seminar	Transportation, food, and lodging

V. Gifts

None

VI. Liabilities

#	CREDITOR	TYPE	VALUE
1	Estate of Maria Medina	Installment note to purchase 1/2 interest in 160 acres, Rio Arriba County, New Mexico	None

VII. Investments and Trusts

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Commercial Building, Alamosa County, CO	See Note	None	None	\$50,001 - \$100,000	Estimated			
Apartments, Alamosa County, CO	See Note	\$15,001 - \$50,000	Rent	\$100,001 - \$250,000	Estimated			
1/4 Section Farm Land; Conejos County, CO		\$1,000 or less	Rent	\$15,001 - \$50,000	Estimated			
Vacant Land, Conejos County Co			None	\$1 - \$15,000	Estimated			
1/2 Interest in [REDACTED] Rio Arriba County, NM	See Note	None	None	\$100,001 - \$250,000	Estimated			
[REDACTED] Vacant Lot, Jefferson County, CO			None	\$15,001 - \$50,000	Estimated			

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
Los Hermanos Luceros, Ltd Partnership (14% Interest)	See Note	\$1,001 - \$2,500	Rent	\$100,001 - \$250,000	Book Value			
Carlos F. Lucero, PC (100% Stock)	See Note	None	None	\$15,000 or less	Book Value			
LCM, Inc TD Ameritrade Brokerage Account (H)								
- TD Ameritrade IDA Interest Money Market		\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
- iShares TIPS Bond ETF (TIP)		\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
- Payden Low Duration Fund (PYSBX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- Pimco Low Duration Fd (PLDDX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- T Rowe Price Short Term Bond (PRWBX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
TD Ameritrade IRA Brokerage Account (H)								
- SPDR Dow Jones Industrial Ave ETF Trust (DIA)		\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
- SPDR Tr S&P500 ETF Tr (SPY)		\$1,000 or less	Dividend	None	Cash Market			
- Vanguard Funds Emerging Markets ETF (VWO)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Mathews Fds Pacific Tiger (MAPTX)		\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
- Mathews Fds Pacific Tiger (MAPTX)	See Note					Sold	12/28/2018	\$15,000 or less
- PIMCO Real Return Fd F/K/A - PIMCO Real Return Fd (PRRDx)		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
- PIMCO Real Return Fd F/K/A - PIMCO Real Return Fd (PRRDx)	See Note					Sold	12/28/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
- IShares Core S&P Small-Cap ETF (IJR)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
- TD Ameritrade Insrd Dep Account	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
TD Ameritrade Brokerage Account (H)							
- TD Ameritrade Insrd Dep Account (Y)	\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
Charles Schwab Brokerage Account (H)							
- Schwab Deposit Account Money Market	\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
Equitable Life Assurance Society - Fixed Annuity	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Estimated			
Safeco Life Insurance Company - Fixed Annuity	\$5,001 - \$15,000	Dividend	\$100,001 - \$250,000	Estimated			
Colorado Bondshares	\$5,001 - \$15,000	Dividend	\$250,001 - \$500,000	Cash Market			
TD Ameritrade IRA Rollover (H)							
- ALPS Brown Capital Small Company I Fd	\$1,001 - \$2,500	Dividend	\$15,000 or less	Cash Market			
- ALPS Brown Capital Small Company I Fd (Note 6)	See Note				Sold	06/26/2018	\$15,000 or less
- AQR Managed Futures Strategy R6	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- Artisan Mid Cap Value Fund Advisor	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- Blackrock Total Return (MPHQX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Blackrock Total Return (MPHQX)					Purchased	01/04/2018	\$15,000 or less

DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
- Blackrock Total Return (MPHQX)					Purchased	03/27/2018	\$15,000 or less
- Bridgeway FD Inc Blue-Chip 35 Index Fd (BRLIX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- Buffalo Fds Mid Cap Fd (BUFMX)	\$1,000 or less	Dividend					
- Dodge and Cox Funds Intl STK FD (DODFX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
- Dodge and Cox Funds Intl STK FD (DODFX)					Sold	02/01/2018	\$15,000 or less
- Dodge and Cox Funds Intl STK FD (DODFX)					Purchased	10/05/2018	\$15,000 or less
- Dodge and Cox Funds Stock Fund (DODGX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Dodge and Cox Funds Stock Fund (DODGX)					Sold	01/04/2018	\$15,000 or less
- Dodge and Cox Funds Stock Fund (DODGX)					Sold	10/05/2018	\$15,000 or less
- Metropolitan West Total Return Bd (MWTSX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Metropolitan West Total Return Bd (MWTSX)					Purchased	01/04/2018	\$15,000 or less
- Northern Fds Small Cap Fd (NOSGX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- T Rowe Price High Yield (PRHYX)							
- T Rowe Price Emerging Mkts Stock (PRMSX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- T Rowe Price Emerging Mkts Stock (PRMSX)					Sold	01/04/2018	\$15,000 or less
- T Rowe Price Blue Chip Growth Fund (TRBCX)	\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
- T Rowe Price Blue Chip Growth Fund (TRBCX)	See Note					Sold	06/26/2018	\$15,000 or less
- T Rowe Price Blue Chip Growth Fund (TRBCX)	See Note					Sold	10/05/2018	\$15,000 or less
- T Rowe Price Equity Income (REIPX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- T Rowe Price Equity Income (REIPX)	See Note					Sold	10/05/2018	\$15,000 or less
- Templeton Global Bond Advisor (TGBAX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Templeton Global Bond Advisor (TGBAX)						Purchased	06/26/2018	\$15,000 or less
- Thornburg International Value Inst (TGVIX)			None					
- Primecap Odyssey Stock Fd (POSKX)		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Advisors Inner Circle II Champlain Mid Cap Instl Fd		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Oppenheimer Intl Growth I		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- T Rowe Price Instl Floating Rate		\$1,000 or less	Dividend	None	Cash Market			
- T Rowe Price Instl Floating Rate						Sold	03/27/2018	\$15,000 or less
- TCW Funds Emerging Markets			None					
- Vanguard Treasury Money Market Fund		\$1,000 or less	Dividend	\$1 - \$15,000	Cash Market			
- Vanguard Treasury Money Market Fund						Purchased	02/01/2018	\$15,000 or less
- Vanguard Treasury Money Market Fund	See Note					Sold	02/05/2018	\$15,000 or less
DSL Real Estate		\$1,000 or less	Dividend	\$1 - \$15,000	Book Value			

DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
1st SouthWest Bank cash account			None	\$1 - \$15,000	Cash Market			
Residential Rental Property #1, Los Angeles, CA		\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
Residential Rental Property #2, Los Angeles, CA		\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
Residential Rental Property #3, Los Angeles, CA		\$15,001 - \$50,000	Rent	\$500,001 - \$1,000,000	Estimated			
Residential Rental Property (Triplex), Los Angeles, CA		\$50,001 - \$100,000	Rent	\$500,001 - \$1,000,000	Estimated			
Chase Bank Savings Account		\$1,001 - \$2,500	Interest	\$250,001 - \$500,000	Cash Market			
- Lazard Emerging Markets Fd (LZEMX)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
- Lazard Emerging Markets Fd (LZEMX)						Purchased	01/04/2018	\$15,000 or less
- Mgd Portfolio Series Tortoise MLP & Pipeline I		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
Mgd Portfolio Series Tortoise MLP & Pipeline I						Purchased	10/05/2018	\$15,000 or less
Northwestern Mutual Life Ins Co, Whole Life Insurance Policy (X)		\$5,001 - \$15,000	Dividend	\$50,001 - \$100,000	Cash Market			
Time Share Rental Property, Avon, CO (X)	See Note	\$5,001 - \$15,000	Rent	\$50,001 - \$100,000	Estimated			
Wells Fargo Certificates of Deposit		\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			

Additional Information or Explanation

PART	#	NOTE
VII.	1	Estimated value based on comparative sales.
VII.	2	Estimated value based on comparative sales.
VII.	5	Land was purchased on January 1, 2003 for \$50,174 from the estate of Maria Medina, property is subject to mortgage.
VII.	7	Assets over \$10,000 value consist of family ranch, land, water rights, equipment, livestock and related property held in partnership with family members.
VII.	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.
VII.	10.4.1	Sold (part)
VII.	10.5.1	Sold (part)
VII.	13.1.1	Sold Part
VII.	13.13.1	Sold (part)
VII.	13.13.2	Sold (part)
VII.	13.14.1	Sold (part)
VII.	13.22.2	Sold (part)
VII.	15	Estimated value based on comparative sales.