

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Hartz, Harris L.	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 04/30/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 201 Third St. NW, #1870 Albuquerque, NM 87102		
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. Trustee	Trust No. 1
2. Member, Board of Directors	Searle Civil Justice Institute
3. Member, Dean's Advisory Committee	University of California Irvine law school
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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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. 2012	New Mexico Judicial Pension	\$48,252.00
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 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. George Washington University law school	2/1-3	Washington, D.C.	Moot court	transportation, lodging, food
2. George Mason school of law	4/25-27	Washington, DC	Searle Center board meeting	transportation, lodging, food
3. Sedona conference	5/2-4	Del Mar, CA	Conference on class actions	transportation, lodging, food
4. American Law Institute	7/27	Santa Fe, NM	Panel on Employment Law	Transportation, food
5. American Academy of appellate lawyers	10/4-5	Colorado Springs, CO	Panel on appellate argument	Transportation, lodging, food

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6.	George Mason School of Law	10/24-25	Washington, DC	Searle Center board meeting	Transportation, lodging, food
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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.			
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. Trust 1	G	Dividend	O	T					
2. --BRKA									
3. --BRKB									
4. --OIA*									
5. --NUV									
6. --PNW									
7. --SO									
8. --COP									
9. --PSX**									
10. --TWCUX									
11. --LCEIX									
12. --JANDX									
13. --NGUAX									
14. --NPRTX									
15. --AMOAX									
16. --AWSAX									
17. --TGRAX									

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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18. --USGBX									
19. --DINAX									
20. --Morgan Stanley Bank Acc't									
21. --San Juan County, NM, real estate									
22. Parcel 1 Unimproved real estate in San Juan County, NM	C	Rent	M	W					
23. EUGBX	A	Dividend	J	T					
24. AWSAX	A	Dividend	J	T					
25. UTLQX	A	Dividend	J	T					
26. BRKB		None	N	T					
27. OIA	A	Dividend	J	T					
28. Wells Fargo Bank Account	A	Interest	L	T					
29. State of Israel Bonds	A	Interest	J	T					
30. US Savings Bonds	C	Interest	L	T					
31. Tennis Club of Albuquerque debenture	A	Interest			Matured	12/31/12	J	A	
32. 403B account	B	Dividend	J	T					
33. --PGRWX									
34. Individual Retirement Annuity	E	Dividend	N	T					

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35. --ING Fixed Account									
36. --ING Balanced VP									
37. IRA Account	D	Dividend	M	T					
38. --Gov't Nat'l Mtge Ass'n Pool									
39. --US Treasury Bond					Matured	11/15/12	K	A	
40. --AMODX									
41. --AWSAX									
42. --MSACX									
43. --MSSGX									
44. --MPEGX									
45. --VSMIX									
46. --MSAIX									
47. --MS Spectrum Select									
48. --MS Spectrum Tech									
49. --MS Spectrum Currency									
50. --Morgan Stanley Bank Acc't									
51. --ACSDX									

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52. Annuity	B	Interest	K	T					
53. --ING VP Inter Bond Portfolio									
54. Allstate Life Ins. Co. annuity	B	Interest	K	T					
55. CM Life Ins. Policy	B	Interest	L	T					
56. MONY Life Ins. Policy	A	Dividend	K	T					
57. TETIX***	A	Dividend	M	T					
58. EVGFEX		None	J	T					
59. OPPAX	A	Dividend	L	T					
60. SCINX	C	Dividend	K	T					
61. AMOAX		None	J	T					
62. LCEAX	A	Dividend	J	T					
63. Morgan Stanley Bank Acc't	A	Interest	J	T					

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

* Line 4: OIB was converted to OIA on August 28, 2012.

** Line 9: Shares of PSX were distributed to holders of COP shares on April 30, 2012

*** Line 57: Shares of TETSX were converted to TETIX on November 27, 2012

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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/ **Harris L. Hartz**

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