

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 04/26/2017
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 01/01/2016 to 12/31/2016
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, Dean's Advisory Committee	University of California Irvine law school
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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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. 2016	New Mexico Judicial Pension	\$49,470.00
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.)*

<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. University of California Irvine Law School	March 11-12	Irvine, California	Board of Visitors' meeting	Transportation, lodging, food
2. UCLA Law school	March 17-18	Los Angeles, California	Moot court	Transportation, lodging, food
3. American Law Institute	March 23-26	Philadelphia, Pennsylvania	Principles of Government Ethics, advisers' meeting	Transportation, lodging, food
4. Duke Law School	October 26-29	Washington, DC	MDL conference	Transportation, lodging, food
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.			
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 (H)									
2. --BRKA		None	N	T					
3. --BRKB		None	K	T					
4. --OIA	A	Dividend	J	T					
5. --PNW	A	Dividend	K	T					
6. --SO	B	Dividend	K	T					
7. --COP	A	Dividend	K	T					
8. --PSX	A	Dividend	K	T					
9. --TWCUX	D	Dividend	M	T					
10. --LCEIX	C	Dividend	M	T					
11. --JANDX	C	Dividend	K	T					
12. --NGUAX	D	Dividend	M	T					
13. --NPRTX	C	Dividend	M	T					
14. --MSEGX	D	Dividend	L	T					
15. --TGRAX	A	Dividend	K	T					
16. --USGBX	A	Dividend	J	T					
17. --DINAX	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 L ~\$50,001 - \$100,000
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	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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18. --Morgan Stanley Bank Acc't	A	Interest	J	T					
19. --San Juan County, NM, real estate		None	M	W					
20. Parcel 1 Unimproved real estate in San Juan County, NM	C	Rent	M	W					
21. EUGBX	A	Dividend	J	T					
22. AWSAX	A	Dividend	J	T					
23. MTIPX	A	Dividend	J	T					
24. BRKB		None	O	T					
25. OIA	A	Dividend	J	T					
26. Wells Fargo Bank Account	A	Interest	M	T					
27. State of Israel Bonds	A	Interest	K	T					
28. US Savings Bonds	C	Interest	L	T					
29. 403B account (H)									
30. --PGRWX	A	Dividend	K	T					
31. Individual Retirement Annuity (H)									
32. --Voya Fixed Account	B	Dividend	L	T					
33. --Voya Balanced	E	Dividend	N	T					
34. IRA Account (H)									

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	
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35. --Gov't Nat'l Mtge Ass'n Pool	A	Interest	J	T					
36. --MSEQX	C	Dividend	K	T					
37. --AWSAX	A	Dividend	J	T					
38. --IMUCX	A	Dividend	J	T					
39. --MSACX	A	Dividend	K	T					
40. --MSSGX	A	Dividend	J	T					
41. --MPEGX	C	Dividend	J	T					
42. --VSMIX	A	Dividend	J	T					
43. --MSAIX	A	Dividend	K	T					
44. --Morgan Stanley Bank Acc't	A	Interest	J	T					
45. --ACSDX	C	Dividend	K	T					
46. Annuity (H)									
47. --Voya (formerly ING) VP Inter Bond Portfolio	A	Dividend	K	T					
48. Allstate Life Ins. Co. annuity	B	Interest	K	T					
49. CM Life Ins. Policy	C	Interest	L	T					
50. MONY Life Ins. Policy	B	Dividend	L	T					
51. TETIX	B	Dividend	M	T					

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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 = \$50,001 - \$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 = \$250,001 - \$500,000	
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52. OPPAX	A	Dividend	L	T					
53. SCINX	B	Dividend	K	T					
54. MSEGX	A	Dividend	J	T					
55. LCEAX	A	Dividend	J	T					
56. Morgan Stanley Bank Acc't	A	Interest	J	T					

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

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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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