

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2004

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Hartz, Harris L	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 4/19/2005
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge Active	5. ReportType (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2004 to 12/31/2004
7. Chambers or Office Address 201 Third St. NW, #1870 Albuquerque, NM 87102	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ **NONE** - (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Trustee	Trust No. 1
2. Chair	ABA Appellate Judges Conference
3. Director	Appellate Judges Education Institute
4. Trustee	Trust No. 2

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ **NONE** - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	My judicial pension from the State of New Mexico has vested and will be distributed when I am age-eligible

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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

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4/19/2005

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.)DATESOURCE AND TYPEGROSS INCOME
(yours, not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. Dollar amount not required except for honoraria.)

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

1.

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.	ABA	2/7-8, San Antonio, TX, Appellate Judges Conference (Travel, meals, and room)
2.	ABA	4/15-18, Tempe, AZ, Appellate Judges Conference (Travel, meals, and room)
3.	ALI	4/29-5/1 Philadelphia, PA, Advisers to Restatement (Third) of Agency (Travel, meals, and room)
4.	ABA	6/19-25, Manila, Philippines, ABA Asia Initiative (Travel, meals, and room)
5.	ABA	8/4-7, Atlanta, GA, Appellate Judges Conference (partial room and meals)
6.	ABA, Appellate Judges Education Institute	11/11-14, Dallas, TX, Appellate Judges Seminar (Travel, meals, and room)

FINANCIAL DISCLOSURE REPORT

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1. _____

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

1. _____

FINANCIAL DISCLOSURE REPORT

Page 1 of 6

Name of Person Reporting
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Trust 1	D	Div. And int	O	T					
2. --BRKA									
3. --OIB									
4. --NUV									
5. --PNW									
6. --SPI									
7. --SO									
8. --COP									
9. --ATF									
10. --MIRKQ									
11. --Farmington NM Pwr Rev, due 1/13, muni bd									
12. --Unit IMIT Muni Ins. Long Term 86 QPS, bond fund									
13. --Unit IMIT Muni Ins. Long Term 40 QPS, bond fund									
14. --Unit IMIT Muni Ins. Long Term 39 QPS, muni bd fund									
15. --Unit Muni Bd Trust Series 7, muni bd fund					redemption	2/27	J	A	
16. --TWCUX									
17. --FIIX									
18. --JANSX									

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 = \$250,000-\$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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Page 2 of 6

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19. --NGUAX									
20. --NPRTX									
21. --AMOBX									
22. --GLBBX									
23. --TGRBX									
24. --USGBX									
25. --DINBX									
26. --San Juan County, NM, real estate									
27. Trust 2	D	Dividend			Distributed	10/19			
28. --Fidelity Advisor Equity Grth I mutual fd									
29. --Scudder Small Cap Fd. (formerly Deutsche Small Cp. Fd.)									
30. --SEI Bond Index Fd.					Sale	10/19			
31. --T. Rowe Price Equity Inc. Fd.									
32. --T. Rowe Price High Yield Fd.									
33. --Vanguard Special Port Healthcare mutual fd					Sale	10/19	J	C	
34. --Templeton Foreign Equity Fd.					Buy	1/9	J		
35. -- "					Sale	10/19	J	A	
36. --SEI Prime Obligation fund, mutual fd									

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FINANCIAL DISCLOSURE REPORT

Page 3 of 6

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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				
	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
37. --SEI Core Fixed Income Fd, mutual fd					Sale	10/19	J	A	
38. --SEI GNMA Fd. Mutual fd					Sale	10/19	K		
39. --SEI High Yield Bond Fd, mutual fd					Sale	10/19	J	A	
40. --Blackrock Int'l Bond Fd, mutual fd									
41. Parcel 1 Unimproved real estate in San Juan County, NM	B	Rent	M	W					
42. Parcel 2 Unimproved real estate in San Juan County, NM					Sale	1/5	L	F	Kozimor Trust
43. 403B account	A	Dividend	J	T					
44. --PGRWX									
45. 401(k) account		None			rolled over	8/17			
46. --FGRDX									
47. --FMAGX									
48. --T. Rowe Price Mid-Cap Grth Fd									
49. --Calvert Social Inv. Eq. Fd. 1									
50. State Retirement Account	C	Interest	L	T					
51. Individual Retirement Annuity	E	Dividend	N	T					
52. --ING Fixed Account									
53. --ING GET Fund Series D					Liquidated	1/15	K		
54. --ING Balanced VP					Partial Buy	1/15	K		

1. Income/Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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
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FINANCIAL DISCLOSURE REPORT

Page 4 of 6

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
55. -- "					Partial Buy	8/23	M		
56. IRA Account	B	Dividend	M	T					
57. --SPIBX									
58. --Gov't Nat'l Mtge Ass'n Pool									
59. --DIVBX									
60. --EUGBX									
61. --MSDW Liquid Asset Fd, mutual fd.									
62. --US Treasury Bonds									
63. --AMOBX									
64. --GLBAX					Buy	7/12	J		
65. Annuity	A	Dividend	J	T					
66. --ING GET Fund Series E					liquidate	9/14	J		
67. --VP Inter Bond Portfolio					buy	9/14	J		
68. Allstate Life Ins. Co. annuity	A	Interest	K	T					
69. CM Life Ins. Policy	B	Interest	L	M					
70. MONY Life Ins. Policy	A	Interest	K	T					
71. Security Connecticut Life Ins. Policy #1	A	Interest	K	T					
72. Security Connecticut Life Ins. Policy #2	A	Interest	K	T					

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Page 5 of 6

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73. TETSX (formerly BABEX)	C	Dividend	M	T					
74. EVGFX		None	J	T					
75. OPPAX	A	Dividend	K	T					
76. SCINX	A	Dividend	K	T					
77. MSDW Active Assets Money Trust, mutual fd	A	Dividend	J	T					
78. AMOBX		None	J	T					
79. DIVBX	D	Dividend	K	T					
80. EUGBX	A	Dividend	J	T					
81. GLBBX	A	Dividend	K	T					
82. UTLBX	A	Dividend	J	T					
83. BRKB		None	L	T					
84. -- "					Partial buy	2/4	J		
85. -- "					Partial buy	3/18	J		
86. -- "					Partial buy	7/29	J		
87. -- "					Partial buy	7/30	J		
88. -- "					Partial buy	12/14	J		
89. OIA	A	Dividend	J	T					
90. Tech. Commercialization Int'l, crnn		None	K	W					

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Page 6 of 6

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91. Wells Fargo Bank Account	A	Interest	M	T					
92. State of Israel Bond	A	Interest	J	T					
93. US Savings Bonds	B	Interest	K	T					
94. Tennis Club of Albuquerque debenture	A	Interest	J	T					
95. Promissory Note—Kozimor Trust	A	Interest	K	T	acquire	1/5			

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

1. Trust 3 on the 2002 form no longer meets the threshold for reporting

FINANCIAL DISCLOSURE REPORT

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

4/19/2005

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544