

1. Person Reporting (Last name, first, middle initial) Hartz, Harris L	2. Court or Organization Tenth Circuit Court of Appeals	3. Date of Report 06/21/2001
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge Nominee	5. Report Type (check type) X Nomination, Date 06/21/2001 Initial Annual Final	6. Reporting Period 01/01/2000 to 06/06/2001
7. Chambers or Office Address 25 Louisiana NW Washington, D.C. 20001	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 section where you have no reportable information. Sign on the last page.

POSITION (Reporting individual only; see pp. 9-13 of Instructions.)		NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)		
1 Partner	Family Partnership	
2 Employee	Stier, Anderson & Malone LLC	
3 Trustee	Trust No. 1	

I. AGREEMENTS (Reporting individual only; see pp. 14-16 of Instructions.)	
DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1	My judicial pension from the State of New Mexico has vested and will be distributed when I am age-eligible.
2	
3	

II. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)		
DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 1999	State of New Mexico judge	61,791
2 2000	Stier, Anderson & Malone, LLC employee	164,461
3 2001	Stier, Anderson & Malone, LLC employee	80,000
4 1999	State of New Mexico employee	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1		exempt
2		
3		
4		
5		
6		
7		

V. GIFTS
(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1		exempt	
2			
3			

VI. LIABILITIES
(Includes those of spouse and dependent children. See pp 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE
☐	NONE (No reportable liabilities.)		
1	St. Albans School	Tuition, room, and board	K
2			
3			
4			
5			
6			

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$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=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Hartz, Harris L.Date of Report
06/21/2001VII. Page 1 INVESTMENTS and TRUSTS— income, value, transactions *(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)*

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	Exempt			
						If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Trust 1	E	Div. and int	O	T					
2 --BRKA									
3 --OIB									
4 --NUV									
5 --PNW									
6 --SPI									
7 --SO									
8 --TOS									
9 --ATF									
10 --MIR									
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 MIT Muni Nat'l Long Term I SPS, muni bd fund									
16 --Unit MIT Muni Nat'l Long Term 1C SPS, muni bd fund									
17 --Unit Muni Bd Trust Series 7, muni bd fund									

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)	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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: (Col. C1, D3)	J=\$15,000 or less O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
3 Val Mth Codes: (Col. C2)	Q=Appraisal U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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VII. Page 2 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

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						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)									
18 --TWCUX									
19 --FIIIX									
20 --JANSX									
21 --NGUAX									
22 --NPRTX									
23 --AMOBX									
24 --GLBBX									
25 --TGRBX									
26 --USGBX									
27 --MSDW World Wide Income B, mutual fund									
28 --DINBX									
29 --San Juan County real estate									
30 --Templeton Global Government Income Trust									
31 Trust 2	E	Dividend	M	T					
32 --Fidelity Advisor Equity Grth I #86, mutual fund									
33 --SEI Large Cap Value Fd, mutual fd									
34 --SEI Small Cap Growth Fd, mutual fd									

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2 Val Codes: J=\$15,000 or less (Col. C1, D3)	O=\$500,001-\$1,000,000	K=\$15,001-\$50,000	PI=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000	P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000	P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
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	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	Exempt			
						If not exempt from disclosure			
	(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)					
NONE (No reportable income,assets, or transactions.)									
35 --SEI Small Cap Value Fd, mutual fd									
36 --Vanguard Special Port Healthcare #52, mutual fd									
37 --SEI Int'l Equity Fd, mutual fd									
38 --SEI Prime Obligation fund, mutual fd									
39 Trust 3	E	Rent, ints t*	M	W					
40 --Parcel 1 Unimproved real estate in San Juan County, NM									
41 --Parcel 2 Unimproved real estate in San Juan County, NM									
42 --Note payable from Paul Gordy									
43 Trust 4	E	Dividend	N	T					
44 --BRKA									
45 --Fidelity Asset Mgr., mutual fd									
46 --ILAF									
47 --DIVBX									
48 --TAXDX									
49 --VADEX									
50 --OPTRX									
51 --VZ									

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2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more	
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1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
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FINANCIAL DISCLOSURE REPORT

VII. Page 5 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

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						If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
69 401(k) account 2		None	M	T					
70 --DRTCX									
71 --FGRIX									
72 --FMAGX									
73 --NMANX									
74 State Retirement Account 1	B	Interest	K	T					
75 State Retirement Account 2	B	Interest	K	T					
76 Individual Retirement Annuity	A	Dividend	M	T					
77 --Aetna Balanced VP									
78 --Aetna Fixed Account									
79 --Aetna GET Fund, Series D									
80 IRA Account 1:	C	Dividend	L	T					
81 --SPIBX									
82 --USGBX									
83 --DIVBX									
84 --EUGBX									
85 --MSDW Liquid Asset Fund, mutual fd									

1 Inc/Gain Codes: A=\$1,000 or less
(Col. B1, D4)

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=\$5,000,001 or more

E=\$15,001-\$50,000

2 Val Codes: J=\$15,000 or less
(Col. C1, D3)

O=\$500,001-\$1,000,000

K=\$15,001-\$50,000

PI=\$1,000,001-\$5,000,000

L=\$50,001-\$100,000

P2=\$5,000,001-\$25,000,000

M=\$100,001-\$250,000

P3=\$25,000,001-\$50,000,000

N=\$250,001-\$500,000

P4=\$50,000,001 or more

3 Val Mth Codes: Q=Appraisal
(Col. C2)

U=Book Value

R=Cost (real estate only)

V=Other

S=Assessment

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						If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
86 --US Treasury Bonds									
87 IRA Account 2	C	Dividend	K	T					
88 --AMOBX									
89 --MSDW Liquid Asset Fund, mutual fd									
90 --USGBX									
91 --US Treasury Bond, due 11/12									
92 Annuity 1		None	J	T					
93 --Aetna GET Fund Series E									
94 Northbrook Life Ins. Co. annuity	B	Interest	K	T					
95 Northwestern Mutual Life Annuity	A	Dividend	K	T					
96 C.M. Life Ins. policy	C	Interest	L	T					
97 MONY Life Insurance Policy	A	Dividend	K	T					
98 Security Connecticut Life Ins. Policy #1	B	Interest	K	T					
99 Security Connecticut Life Insurance Policy #2	B	Interest	K	T					
100 BABEX	C	Dividend	L	T					
101 EVGFX	C	Dividend	J	T					
102 OPPAX	D	Dividend	K	T					

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(Col. B1, D4) F=\$50,001-\$100,000 G=\$100,001-\$1,000,000 H1=\$1,000,001-\$5,000,000 H2=\$5,000,001 or more

2 Val Codes: 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
(Col. C1, D3) 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=\$50,000,001 or more

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						If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
103 PZMCX	B	Dividend	J	T					
104 SCINX	C	Dividend	K	T					
105 VWINX	C	Dividend	K	T					
106 MSDW Active Assets Money Trust, mutual fd	B	Dividend	K	T					
107 AMOBX		None	J	T				-	
108 DIVBX	D	Dividend	L	T					
109 EUGBX	A	Dividend	J	T					
110 GLBBX	A	Dividend	K	T					
111 UTLBX	B	Dividend	K	T					
112 BRKB		None	K	T					
113 CHTR		None	J	T					
114 CSCO		None	J	T					
115 MRK	A	Dividend	J	T					
116 OIA	A	Dividend	J	T					
117 NYT	A	Dividend	J	T					
118 Technology Commercialization Int'l, cmn		None	K	W					
119 Unit MIT Municipal Nat'l Long Term 116 MPS, investment trust	A	Interest	J	T					

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VII. Page 8 INVESTMENTS and TRUSTS -- income, value, transactions

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						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
120 Unit MIT Municipal Nat'l Long Term 71 MPS, investment trust	A	Interest	J	T					
121 Unit MIT Municipal Nat'l Long Term 94 MPS, investment trust	A	Interest	J	T					
122 Unit MIT Municipal Nat'l Long Term 190 MPS, investment trust	A	Interest	J	T					
123 Sun Trust Bank account	A	Interest	J	T					
124 Wells Fargo Bank account	B	Interest	K	T					
125 State of Israel Bonds	A	Interest	J	W					
126 US Savings Bonds	C	Interest	L	U					
127 US Treasury Bills	C	Interest	K	T					
128 Mosler Inc., bond	B	Interest	J	T					
129 Tennis Club of Albuquerque debenture	A	Interest	J	T					
130 American Real Estate Partners, limited ptrshp	A	Dividend	J	U					
131 Family partnership, 1/10 share in mortgage note	A	Interest	J	U					
132 Interest in Harper Hill Trust (rl est--San Juan County, NM)	A	**	K	W					
133 Discover Bank CD	B	Interest							
134									
135									
136									

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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=\$5,000,001 or more

E=\$15,001-\$50,000

2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000

K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000

L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000

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