

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/26/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 201 3rd 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Judicial Education Advisory Board	George Mason University, Antonin Scalia Law School, Law & Economics Center
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

04/26/2019

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. 2018	New Mexico Judicial Pension	\$49,965.00
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 Mason University, Antonin Scalia Law School, Law & Economics Center	May 20-22	Arlington, VA	Advisory Board Meeting	Transportation, lodging, food
2. "	June 13-17	Boston, MA	Seminar	Transportation, lodging, food
3. "	October 21-24	Arlington, VA	Advisory Board Meeting	Transportation, lodging, food
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

04/26/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

04/26/2019

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) (y)									
2. --BRKA (y)									
3. --BRKB (y)									
4. --PNW (y)									
5. --SO (y)									
6. --COP (y)									
7. --PSX (y)									
8. --TWCUX (y)									
9. --LCEIX (y)									
10. --JNRFEX (y)									
11. --NGUAX (y)									
12. --NPRTX (y)									
13. --MSEGX (y)									
14. --TGRAX (y)									
15. --USGBX (y)									
16. ---Morgan Stanley Bank Acc't (y)									
17. --San Juan County, NM, real estate (y)									

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 ~\$250,001 - \$500,000	O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000	P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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Hartz, Harris L.

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18. Parcel 1 Unimproved real estate in San Juan County, NM	D	Rent	M	W					
19. EUGBX	A	Dividend	J	T					
20. AWSAX	B	Dividend	J	T					
21. BRKB		None	O	T					
22. OIA	A	Dividend	J	T					
23. American Express National Bank account	A	Interest	L	T	Open	07/26/18	J		
24. Bank of China NY CD	A	Interest	K	T	Buy	12/19/18	K		
25. Wells Fargo Bank account	A	Interest	M	T					
26. State of Israel Bonds	A	Interest	K	T	Redeemed (part)	02/01/18	J		
27. US savings bonds	C	Interest	K	T	Redeemed (part)	10/11/18	K		
28. Annuity (H)									
29. --VOYA VP Inter Bond Portfolio			K	T					
30. Allstate Life Ins. Co. annuity	B	Interest	K	T					
31. CM Life Ins. Policy (whole life policy)	C	Interest	L	T					
32. MONY Life Ins. policy (whole life policy)	B	Dividend	L	T					
33. AIMXX	A	Dividend	J	T	Buy	12/31/18	J		
34. TETIX	E	Dividend	M	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
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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

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35. OPPAX	D	Dividend	L	T					
36. SCINX	B	Dividend	K	T					
37. MSEGX	A	Dividend	J	T					
38. LCEAX	A	Dividend			Sold	12/31/18	J		
39. Morgan Stanley bank account	A	Interest	J	T					
40.									

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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

04/26/2019

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Hartz, Harris L.

Date of Report

04/26/2019

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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