

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 5/21/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Hartz, Harris L.

Date of Report

5/21/2012

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. 2011	New Mexico Judicial Pension	\$44,458.70
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. American Law Institute	3/4-5	Washington, D.C.	Advisers meeting	transportation, lodging, food
2. University of Alabama School of Law	3/22-24	Tuscaloosa, AL	Moot Court	transportation, lodging, food
3. University of California, Irvine, School of Law	3/29-31	Irvine, CA	Moot Court	transportation, lodging, food
4. Civil Justice Reform Group	6/1-3	New York, NY	Panel on Judicial Education	Transportation, lodging, food
5. George Mason School of Law	10/26-27	Washington, DC	Searle Center board meeting	Transportation, lodging, food
6. George Mason School of Law	11/1	Arlington, VA	Dinner Lecture	lodging, food

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting	Date of Report
Hartz, Harris L.	5/21/2012

7.	American Law Institute	12/7-9	Washington, DC	Advisers meeting	transportation, lodging, food
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FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Hartz, Harris L.

Date of Report

5/21/2012

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Hartz, Harris L.

Date of Report

5/21/2012

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	A	Dividend	O	T					
2. --BRKA									
3. --BRKB									
4. --OIB									
5. --NUV									
6. --PNW									
7. --SO									
8. --COP									
9. --TWCUX									
10. --LCEIX									
11. --JANDX									
12. --NGUAX									
13. --NPRTX									
14. --AMOAX									
15. --AWSAX *									
16. --TGRAX									
17. --USGBX									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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Hartz, Harris L.

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5/21/2012

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

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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35. --ING Balanced VP									
36. IRA Account	A	Dividend	M	T					
37. --Gov't Nat'l Mtge Ass'n Pool									
38. --US Treasury Bond									
39. --AMODX					Sold (part)	07/15/11	J	A	
40.					Buy (add'l)	07/22/11	J		
41. --AWSAX *									
42. --MSACX					Buy (add'l)	07/22/11	J		
43. --MSSGX					Buy (add'l)	07/22/11	J		
44. --MPEGX					Sold (part)	01/21/11	J	A	
45. -- "					Sold (part)	04/15/11	J	A	
46. -- "					Buy (add'l)	07/22/11	J		
47. --USMIX **					Buy (add'l)	07/22/11	J		
48. --MSAIX ***					Buy (add'l)	07/22/11	J		
49. --MS Spectrum Select									
50. --MS Spectrum Tech									
51. --MS Spectrum Currency									

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P3 = \$25,000,001 - \$50,000,000
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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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52. --Morgan Stanley Bank Acc't									
53. --Morgan Stanley CPI/Commodity note					Redeemed	07/06/11	K	D	
54. --ACSDX					Buy (add'l)	07/22/11	J		
55. Annuity	A	Interest	K	T					
56. --ING VP Inter Bond Portfolio									
57. Allstate Life Ins. Co. annuity	B	Interest	K	T					
58. CM Life Ins. Policy	B	Interest	L	T					
59. MONY Life Ins. Policy	A	Dividend	K	T					
60. TETSX		None	M	T					
61. EVGFX		None	J	T					
62. OPPAX	B	Dividend	L	T					
63. SCINX	A	Dividend	K	T					
64. AMOAX		None	J	T					
65. LCEAX ****	A	Dividend	J	T					
66. Morgan Stanley Bank Acc't	A	Interest	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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Hartz, Harris L.

Date of Report

5/21/2012

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

* Lines 15, 23, & 41: GLBAX was converted to AWSAX on 5/24

** Line 47: MPSCX was converted to USMIX on 5/24

***Line 48: MDFDX was converted to MSAIX on 5/24

****Line 65: DIVBX was converted to LCEAX on 7/19

Line 21: The rent is paid for permission to erect signs on the property; rent is paid by ConocoPhillips Co., El Paso Natural Gas Co., and Enterprise Prod. OELC.

Line 33 on 2010 Report: My retirement account vested and payment began in February 2011. See Part III-A.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Hartz, Harris L.

Date of Report

5/21/2012

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