

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/03/2014
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 01/01/2013 to 12/31/2013
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, Board of Directors	Searle Civil Justice Institute
3. Member, Dean's Advisory Committee	University of California Irvine law school
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	New Mexico Judicial Pension	\$48,985.00
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. University of California, Irvine, School of Law	3/1-3	Irvine, California	Dean's Advisory Committee	Transportation, lodging, food
2. George Mason school of law	5/7-8	Washington, DC	Searle Center board meeting	Transportation, lodging, food
3. American Law Institute	12/10-12	Philadelphia, PA	Government Ethics Advisors Meeting	Transportation, lodging, food
4. George Mason School of Law	10/23-24	Washington, DC	Searle Center board meeting	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.)*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.

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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 I	G	Dividend	P1	T					
2. --BRKA									
3. --BRKB									
4. --OIA									
5. --NUV									
6. --PNW									
7. --SO									
8. --COP									
9. --PSX									
10. --TWCUX									
11. --LCEIX									
12. --JANDX									
13. --NGUAX									
14. --NPRTX									
15. --AMOAX									
16. --AWSAX									
17. --TGRAX									

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 H ~\$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	

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

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. --ING Balanced VP									
36. IRA Account	E	Dividend	M	T					
37. --Gov't Nat'l Mtge Ass'n Pool									
38. --AMODX					Buy (add'l)	02/22/13	J		
39.					Buy (add'l)	03/22/13	J		
40.					Buy (add'l)	04/23/13	J		
41.					Buy (add'l)	07/16/13	J		
42.					Sold (part)	10/08/13	J	A	
43.					Sold (part)	10/28/13	J	A	
44. --AWSAX									
45. --MSACX					Buy (add'l)	02/22/13	J		
46.					Buy (add'l)	03/22/13	J		
47.					Buy (add'l)	04/23/13	J		
48.					Buy (add'l)	07/16/13	J		
49.					Sold (part)	07/17/13	J	A	
50.					Buy (add'l)	10/28/13	J		
51.					Sold (part)	10/29/13	J	A	

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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 = \$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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52. --MSSGX					Sold (part)	02/22/13	J	A	
53.					Sold (part)	03/22/13	J	A	
54.					Buy (add'l)	04/23/13	J		
55.					Sold (part)	10/28/13	J	A	
56. --MPEGX					Buy (add'l)	02/22/13	J		
57.					Buy (add'l)	03/22/13	J		
58.					Buy (add'l)	04/23/13	J		
59.					Buy (add'l)	07/16/13	J		
60.					Buy (add'l)	10/28/13	J		
61. --VSMIX *					Sold (part)	02/22/13	J	A	
62.					Sold (part)	03/22/13	J	A	
63.					Buy (add'l)	04/23/13	J		
64.					Sold (part)	07/16/13	J	A	
65.					Buy (add'l)	10/28/13	J		
66. --MSAIX					Sold (part)	02/22/13	J	A	
67.					Sold (part)	03/22/13	J	A	
68.					Buy (add'l)	04/23/13	J		

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69.					Buy (add'l)	07/16/13	J		
70.					Buy (add'l)	10/28/13	J		
71. --MS Spectrum Select									
72. --MS Spectrum Tech									
73. --MS Spectrum Currency									
74. --Morgan Stanley Bank Acc't									
75. --ACSDX					Sold (part)	01/10/13	J	A	
76.					Sold (part)	02/22/13	J	A	
77.					Sold (part)	03/22/13	J	A	
78.					Buy (add'l)	04/23/13	J		
79.					Buy (add'l)	07/16/13	J		
80.					Buy (add'l)	10/28/13	J		
81. Annuity		None	K	T					
82. --ING VP Inter Bond Portfolio									
83. Allstate Life Ins. Co. annuity	B	Interest	K	T					
84. CM Life Ins. Policy	A	Interest	L	T					
85. MONY Life Ins. Policy	A	Dividend	L	T					

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86. TETIX	C	Dividend	M	T					
87. EVGFX		None	J	T					
88. OPPAX	C	Dividend	L	T					
89. SCINX	A	Dividend	K	T					
90. AMOAX	A	Dividend	J	T					
91. LCEAX	A	Dividend	J	T					
92. Morgan Stanley Bank Acc't	A	Interest	J	T					

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

- * Line 61: This investment was incorrectly listed as USMIX on 2012 report (for 2011),page 7, line 47

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544