AO 10
Rev. 1/2007

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006

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)	2. Court or Organization	3. Date of Report
Hartz, Harris L	Tenth Circuit Court of Appeals	04/30/2007
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** 01/01/2006 to 12/31/2006
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 instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust No. 1
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of 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
2.		
3.		

Name of Person Reporting	Date of Report
Hartz, Harris L	04/30/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)*

A. Filer's Non-Investment Income

[X] NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			
5.			

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.)

[X] NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE
1.		
2.		
3.		
4.		
5.		

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

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

[ ] NONE *(No reportable reimbursements.)*

	SOURCE	DESCRIPTION
1.	ABA	2/11-12, Chicago , Ill. Appellate Judges Conference (transportation, lodging, food)
2.	Southern Ill. Univ. Law School	2/15-18, Carbondale, Ill, Visiting Juris (transportation, lodging, food)
3.	Boston Univ. School of Law	4/5-7, Boston, MA, moot court (transportation, lodging, food)
4.	ABA	8/2-7, Honolulu, HA, Appellate JudgesConference & 3 panels (transportation, lodging, food)
5.		

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Hartz, Harris L	04/30/2007

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

[X] 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 instructions.)*

[X] NONE *(No reportable liabilities.)*

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Hartz, Harris L	04/30/2007

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of the 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 (1) Amount Code 1 (A-H)	(2) Type (e.g. div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g. buy, sell, 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)
1. Trust 1	G	Div. And int	P1	T					
2. --BRKA									
3. --OIB									
4. --NUV									
5. --PNW									
6. --SPI									
7. --SO									
8. --COP									
9. --ATF									
10. --TWCUX									
11. --LCEIX									
12. --JANSX									
13. --NGUAX									
14. --NPRTX									
15. --AMOAX									
16. --GLBAX									
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 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	

Name of Person Reporting	Date of Report
Hartz, Harris L	04/30/2007

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of the 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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. --USGAX									
19. --DINAX									
20. --Morgan Stanley Bank Acc't					opened	1/1			
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. GLBAX	B	Dividend	K	T					
25. UTLAX	C	Dividend	K	T					
26. BRKB		None	M	T					
27. "					Partial buy	1//31	J		
28. "					Partial buy	3/13	J		
29. "					Partial buy	4/10	J		
30. "					Partial buy	4/26	J		
31. "					Partial buy	5/23	J		
32. "					Partial buy	7/3	J		
33. "					Partial buy	8/24	J		
34. "					Partial buy	9/19	J		

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35. "					Partial buy	10/30	J		
36. "					Partial buy	11/16	J		
37. "					Partial buy	12/11	J		
38. OIA	A	Dividend	J	T					
39. Wells Fargo Bank Account	C	Interest	M	T					
40. State of Israel Bonds	A	Interest	J	T					
41. US Savings Bonds	B	Interest	L	T					
42. Tennis Club of Albuquerque debenture	A	Interest	J	T					
43. Promissory Note--Kozimor Trust	B	Interest	K	T					
44. 403B account	B	Dividend	J	T					
45. --PGRWX									
46. State Retirement Account	C	Interest	L	T					
47. Individual Retirement Annuity	E	Dividend	N	T					
48. --ING Fixed Account									
49. --ING Balanced VP									
50. IRA Account	D	Dividend	M	T					
51. --Gov't Nat'l Mtge Ass'n Pool									

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	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 (See Columns C1 and D3)	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	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		
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52. --DIVDX					sold	7/21	J		
53. --MSDW Liquid Asset Fd, mutual fund									
54. --US Treasury Bonds					partial sale	11/15	K		
55. --AMODX									
56. --GLBAX									
57. --MSACX					partial sale	4/19	J	A	
58. - "					Partial sale	7/21	J	A	
59. "					Partial sale	10/17	J	A	
60. --MSSGX									
61. --MPEGX					Partial sale	7/21	J	A	
62. --MPSCX									
63. --MDFDX					Partial sale	7/21	J		
64. --MS Spectrum Select									
65. --MS Spectrum Tech									
66. --MS Spectrum Currency									
67. --Morgan Stanley Bank Acc't					opened	10/9			
68. --DHG					buy	11/21	K		

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69. --Morgan Stanley CPI/Commodity note					buy	1/6	J		
70. --ACSDX					buy	7/21	J		
71. Annuity	A	Dividend	J	T					
72. --ING VP Inter Bond Portfolio									
73. Allstate Life Ins. Co. annuity	A	Interest	K	T					
74. CM Life Ins. Policy	B	Interest	L	T					
75. MONY Life Ins. Policy	A	Interest	K	T					
76. Security Connecticut Life Ins. Policy #1	A	Interest	K	T					
77. Security Connecticut Life Ins. Policy #2	A	Interest	K	T					
78. TETSX	D	Dividend	M	T					
79. EVGFX		None	J	T					
80. OPPAX	C	Dividend	L	T					
81. SCINX	B	Dividend	K	T					
82. AMOBX		None	J	T					
83. DIVAX	E	Dividend	K	T					
84. Morgan Stanley Bank Acc't	A	None	J	T	opened	1/1			

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

1. Items on lines 10, 12, and 14 of the 2005 report have been omitted because they do not meet the threshhold for reporting.
2. Item on line 35 of 2005 report has been omitted because the corporation went under and the stock is worthless.
3. Item on line 78 of 2005 report (a money market mutual fund) has been omitted because it was liquidated on 8/15 with no funds in it.
4. Item on line 20 of this report was opened on 11/21/05 and mistakenly omitted from 2005 report.
5. Item on line 84 of this report did not meet threshhold for reporting in 2005.

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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 [redacted] Date 4/30/07

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