AO 10
Rev. 1/2008

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008

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 05/10/2009
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 01/01/2008 to 12/31/2008
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 filing instructions.)*

☐ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1. Trustee	Trust No. 1
2. Member, Board of Directors	Searle Civil Justice Institute
3.	
4.	
5.	

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

☐ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1. 9/30/1999	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.	05/10/2009

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.			
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 Illinois College of Law	3/31 - 4/2	Champaign, IL	Moot Court	transportation, lodging, food
2.	Northwestern University	10/15-17	Chicago, IL	Searle Center board mtg	transportation, lodging, food
3.	SMU Dedman School of Law	11/15	Phoenix, AZ	Panel presentation	transportation, lodging, food
4.					
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.)*

	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.			

Name of Person Reporting	Date of Report
Hartz, Harris L.	05/10/2009

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)	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)
1. Trust 1		None	O	T					
2. --BRKA									
3. --BRKB					Buy	3/12	J		
4.					Buy (add'l)	9/17	J		
5. --OIB									
6. --NUV									
7. --PNW									
8. --SO									
9. --COP									
10. --ATF					Matured	8/6	K	D	
11. --TWCUX									
12. --LCEIX									
13. --JANSX									
14. --NGUAX									
15. --NPRTX									
16. --AMOAX									
17. --GLBAX									

1. Income Gain Codes: (See Columns B1 and D4)	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
	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		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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18. --TGRAX									
19. --USGBX									
20. --DINAX									
21. --Morgan Stanley Bank Acc't									
22. --San Juan County, NM, real estate									
23. Parcel 1 Unimproved real estate in San Juan County, NM	B	Rent	M	W					
24. EUGBX	A	Dividend	J	T					
25. GLBAX	A	Dividend	J	T					
26. UTLQX	D	Dividend	J	T					
27. BRKB		None	M	T					
28. "					Buy (add'l)	1/3	J		[redacted]
29. "					Buy (add'l)	7/8	J		[redacted]
30. "					Buy (add'l)	9/25	J		[redacted]
31. "					Buy (add'l)	11/4	J		[redacted]
32. OIA	A	Dividend	J	T					
33. Wells Fargo Bank Account	B	Interest	L	T					
34. State of Israel Bond	A	Interest			Buy	2/8	J		

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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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35. US Savings Bonds	B	Interest	L	T					
36. Tennis Club of Albuquerque debenture	A	Interest	J	T					
37. Promissory Note--Kozimor Trust	A	Interest			Matured	4/1	J		
38. 403B account		None	J	T					
39. --PGRWX									
40. State Retirement Account	C	Interest	L	T					
41. Individual Retirement Annuity		None	N	T					
42. --ING Fixed Account									
43. --ING Balanced VP									
44. IRA Account		None	L	T					
45. --Gov't Nat'l Mtge Ass'n Pool									
46. --MSDW Liquid Asset Fd, mutual fund									
47. --US Treasury Bond									
48. --AMODX					Sold (part)	7/18	J	A	
49. --GLBAX									
50. --MSACX					Sold (part)	1/17	J	A	
51. - "					Sold (part)	4/18	J	A	

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52. "					Sold (part)	10/17	J	A	
53. --MSSGX									
54. --MPEGX									
55. --MPSCX									
56. --MDFDX									
57. --MS Spectrum Select									
58. --MS Spectrum Tech									
59. --MS Spectrum Currency									
60. --Morgan Stanley Bank Acc't									
61. --DHG					Sold	11/10	J		
62. --Morgan Stanley CPI/Commodity note									
63. --ACSDX									
64. Annuity		None	J	T					
65. --ING VP Inter Bond Portfolio									
66. Allstate Life Ins. Co. annuity	A	Interest	K	T					
67. CM Life Ins. Policy	B	Interest	L	T					
68. MONY Life Ins. Policy	A	Dividend	K	T					

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69. Security Connecticut Life Ins. Policy #1	A	Interest	K	T					
70. Security Connecticut Life Ins. Policy #2	A	Interest	K	T					
71. TETSX	D	Dividend	L	T					
72. EVGFX	A	Dividend	J	T					
73. OPPAX	C	Dividend	K	T					
74. SCINX	B	Dividend	K	T					
75. AMOBX		None	J	T					
76. DIVBX	A	Dividend	J	T					
77. "					Sold (part)	12/22	J		
78. "					Sold (part)	12/30	J		
79. Morgan Stanley Bank Acc't	A	Interest	J	T					

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

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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]

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