| AO 10 Rev. 1/2011 | **FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010** | *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** 04/14/2011 |
| **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** 01/01/2010 to 12/31/2010 |
| **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. | | |

## 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 payment began in 2011, when I became age-eligible. |
| 2. | |
| 3. | |

| Name of Person Reporting | Date of Report |
|---|---|
| Hartz, Harris L. | 04/14/2011 |

## 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. | Cardozo School of Law | 3/6-8 | New York, NY | Moot Court | transportation, lodging, food |
| 2. | Northwestern University School of Law | 4/1-3 | Chicago, IL | Moot Court | transportation, lodging, food |
| 3. | Pepperdine University School of Law | 3/18-20 | Malibu, CA | Panel member for law-clerk-training program | transportation, lodging, food |
| 4. | Northwestern University | 4/21-22 | Chicago, Illinois | Searle Center board meeting | Transportation, lodging, food |
| 5. | George Mason School of Law | 10/27-28 | Washington, DC | Searle Center board meeting | Transportation, lodging, food |

| Name of Person Reporting | Date of Report |
| --- | --- |
| **Hartz, Harris L.** | 04/14/2011 |

| | | | | | |
| --- | --- | --- | --- | --- | --- |
| 6. | Wake Forest School of Law | 11/18-21 | Winston-Salem, NC | Moot Court | Transportation, lodging, food |

## 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. | 04/14/2011 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | Trust 1 | G | 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. | --GLBAX | | | | | | | | | |
| 16. | --TGRAX | | | | | | | | | |
| 17. | --USGBX | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | A =$1,000 or less<br>F =$50,001 - $100,000 | B =$1,001 - $2,500<br>G =$100,001 - $1,000,000 | C =$2,501 - $5,000<br>H1 =$1,000,001 - $5,000,000 | D =$5,001 - $15,000<br>H2 =More than $5,000,000 | E =$15,001 - $50,000 |
| 2. Value Codes (See Columns C1 and D3) | J =$15,000 or less<br>N =$250,001 - $500,000<br>P3 =$25,000,001 - $50,000,000 | K =$15,001 - $50,000<br>O =$500,001 - $1,000,000 | L =$50,001 - $100,000<br>P1 =$1,000,001 - $5,000,000<br>P4 =More than $50,000,000 | M =$100,001 - $250,000<br>P2 =$5,000,001 - $25,000,000 | |
| 3. Value Method Codes (See Column C2) | Q =Appraisal<br>U =Book Value | R =Cost (Real Estate Only)<br>V =Other | S =Assessment<br>W =Estimated | T =Cash Market | |

| Name of Person Reporting | Date of Report |
|---|---|
| Hartz, Harris L. | 04/14/2011 |

## 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 mm/dd/yy | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 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. GLBAX | A | Dividend | J | T | | | | | |
| 24. UTLQX | A | Dividend | K | 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 | B | Dividend | J | T | | | | | |
| 32. --PGRWX | | | | | | | | | |
| 33. State Retirement Account | C | Interest | L | T | | | | | |
| 34. Individual Retirement Annuity | E | Dividend | N | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Hartz, Harris L. | 04/14/2011 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 35. --ING Fixed Account | | | | | | | | | |
| 36. --ING Balanced VP | | | | | | | | | |
| 37. IRA Account | D | Dividend | M | T | | | | | |
| 38. --Gov't Nat'l Mtge Ass'n Pool | | | | | | | | | |
| 39. --US Treasury Bond | | | | | | | | | |
| 40. --AMODX | | | | | | | | | |
| 41. --GLBAX | | | | | | | | | |
| 42. --MSACX | | | | | | | | | |
| 43. --MSSGX | | | | | | | | | |
| 44. --MPEGX | | | | | Sold (part) | 04/16/10 | J | A | |
| 45. -- " | | | | | Sold (part) | 07/16/10 | J | A | |
| 46. -- " | | | | | Sold (part) | 10/15/10 | J | A | |
| 47. --MPSCX | | | | | | | | | |
| 48. --MDFDX | | | | | Sold (part) | 01/22/10 | J | A | |
| 49. --MS Spectrum Select | | | | | | | | | |
| 50. --MS Spectrum Tech | | | | | | | | | |
| 51. --MS Spectrum Currency | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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 | |
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| Name of Person Reporting | Date of Report |
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| Hartz, Harris L. | 04/14/2011 |

## VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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|---|---|---|---|---|---|---|---|---|---|
| 52. --Morgan Stanley Bank Acc't | | | | | | | | | |
| 53. --Morgan Stanley CPI/Commodity note | | | | | | | | | |
| 54. --ACSDX | | | | | | | | | |
| 55. Annuity | B | 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 | A | Dividend | L | T | | | | | |
| 63. SCINX | A | Dividend | K | T | | | | | |
| 64. AMOAX ** | | None | J | T | | | | | |
| 65. DIVBX | 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 | 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 | |
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| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Hartz, Harris L. | 04/14/2011 |

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

* Line 11: JANSX was converted to JANDX on 2/12/10
** Line 64: AMOBX was converted to AMOAX on 2/27/09
Lines 63 and 64 of 2009 report: I discovered in 2011 that I had not been the owner of these policies, but was only trustee [redacted] they are no longer minors.

| Name of Person Reporting | Date of Report |
|---|---|
| 50162-Hartz, Harris L. | 04/14/2011 |

## 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. [redacted]-Hartz**

**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)**


Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544