

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) Hornby, D.Brock	2. Court or Organization District of Maine	3. Date of Report 04/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge (senior status)	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 United States District Court 156 Federal Street Portland, ME 04101		
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. Council Member	The American Law Institute
2. Member, Committee on Science, Technology and the Law	The National Academies (ending 12/31/2013)
3. Power-of-Attorney	Member #1
4. Co-Trustee	Trust #1 Member #2 (ending 04/01/2014)
5. Executive Committee Member	Federal Judges Association

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 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	self-employed in management consulting, software development and rental property
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. The National Academies	05/12-14/2013	Washington, DC	CSTL Committee Meeting	paid travel, lodging and meal expenses
2. The American Law Institute	10/16-18/2013	New York, NY	Council Meeting	paid travel, lodging and meal expenses
3. The National Academies	11/17-19/2013	Washington, DC	CSTL Committee Meeting	paid travel, lodging and meal expenses
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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 4 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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. Bank of America accounts	A	Interest	M	T					
2. Ally Bank accounts	B	Interest	M	T					
3. Emigrant Direct	A	Interest			Closed	03/02/13	L		
4. U.S. Savings Bonds		None	L	T					
5. Maine State Turnpike Auth'y bonds	C	Interest	L	T	Redeemed (part)	07/01/13	J		
6.					Buy	07/11/13	K		
7. Maine Health & Higher Edu. Facs. Auth'y bonds	D	Interest	N	T	Buy (add'l)	01/10/13	J		
8.					Buy (add'l)	01/23/13	K		
9.					Buy (add'l)	04/18/13	J		
10.					Buy (add'l)	06/06/13	K		
11.					Redeemed (part)	07/01/13	K		
12. Puerto Rico Public Finance Corp. bond	B	Interest	K	T					
13. Bangor ME bonds	B	Interest	L	T	Buy (add'l)	09/23/13	K		
14. Scarborough ME bond	B	Interest	K	T					
15. Maine Municipal Bond Bank bonds	B	Interest	K	T					
16. Portland ME Airport bonds	C	Interest	K	T	Redeemed (part)	07/01/13	J		
17. Puerto Rico Public Buildings Auth'y bond	B	Interest	K	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
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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 5 of 19

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Hornby, D.Brock

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☐ 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 I (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. Commonwealth of Puerto Rico bonds	D	Interest	M	T					
19. Univ. of Maine System bonds	B	Interest	L	T	Buy (add'l)	07/17/13	K		
20. Puerto Rico Elec. Power Auth'y bonds	B	Interest	K	T					
21. Puerto Rico Aqueduct & Sewer Auth'y bonds	B	Interest	K	T					
22. Lewiston, ME public improvement bond	B	Interest	K	T					
23. Windham, ME gen'l purpose bond	A	Interest			Redeemed	11/01/13	K		
24. ME Gov't Facilities Auth'y bond	A	Interest	K	T	Buy (add'l)	07/17/13	K		
25. RBC Wealth Mgt money mkt acct	A	Interest	J	T					
26. T. Rowe Price Mutual Int'l Stock Funds	A	Dividend	K	T					
27. Brokerage Acct T. Rowe Price									
28. -Cash Management Account	A	Interest	K	T					
29. -com stk General Electric Co.	A	Dividend	K	T					
30. -ADR Diageo PLC new	A	Dividend	K	T					
31. -com stk Avon Products	A	Dividend			Sold	11/11/13	K		
32. -com stk First Service Corp.	A	Dividend	K	T					
33. -Barclays Bank PLC iPath Index Fund		None			Sold	11/11/13	J		
34. -Vanguard Group Mutual Funds									

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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☐ 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)

35. ---Balanced Index Fund	A	Dividend	K	T					
36. ---Value Index Fund	B	Dividend	K	T					
37. ---Inflation Protected Security Inv	A	Dividend	K	T					
38. ---Strategic Equity Fund	A	Dividend	J	T					
39. ---Tax Mgt Int'l Fund	A	Dividend	J	T					
40. -Alpine Funds									
41. ---Dynamic Dividend	B	Dividend	K	T					
42. ---International Real Estate	A	Dividend	K	T					
43. ---Alpine Found. Fund	A	Dividend	K	T					
44. -Bridgeway Ultra-Small Company Mkt Fund	C	Dividend	K	T					
45. -Matthews Asian Funds									
46. ---Asia Growth Investor	A	Dividend	K	T					
47. ---India	A	Dividend	K	T					
48. -The Fairholme Fund	D	Dividend	L	T					
49. -com stk H.J. Heinz Co.	A	Dividend			Sold	06/10/13	K	D	
50. -com stk Illinois Tool Works	A	Dividend	L	T					
51. -com stk Boardwalk Pipeline Partners	B	Dividend	K	T	Buy	02/13/13	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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52.					Buy (add'l)	09/13/13	K		
53. -iShares MSCI Mexico Capped ETF	A	Dividend	K	T	Buy	08/28/13	K		
54. IRA Brokerage Acct T. Rowe Price #1									
55. -Cash Management Acct	A	Interest	K	T					
56. -com stk Intel Corp.	A	Dividend	K	T					
57. -com stk Starbucks Corp.	A	Dividend	K	T	Sold (part)	11/11/13	K	E	
58. -com stk Popular, Inc.		None	J	T					
59. -Washington REIT	A	Dividend	K	T					
60. -com stk Pioneer Natural Resources	A	Dividend	K	T					
61. -ETF I Shares MSCI Japan	A	Dividend	J	T					
62. -mutual Fairholme Fund	C	Dividend	K	T					
63. -Blackrock Int'l Bond Portfolio	A	Dividend	J	T					
64. -American Campus Communities REIT	A	Dividend	K	T					
65. -com stk Grupo Televisa	A	Dividend	K	T					
66. -Turkish Investment Fund	A	Dividend	J	T					
67. -Prudent Bear Fund		None	J	T					
68. -com stk Peabody Energy Corp.	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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69. -Alpine Total Dynamic Div. Fund	A	Dividend			Sold	09/11/13	J		
70. -T. Rowe Price Emerging Europe Fund	A	Dividend	J	T					
71. -Matthews Korea Fund	A	Dividend	J	T					
72. -com stk Amazon.com		None	K	T					
73. -Wisdom Tree Large Cap Div Fund	B	Dividend	L	T	Buy (add'l)	09/20/13	J		
74. -Facebook Inc.		None	L	T	Sold (part)	11/11/13	K	D	
75. IRA Brokerage Acct T. Rowe Price #2									
76. -Cash Management Acct	A	Interest	K	T					
77. -com stk Powershares QQQ	A	Dividend	K	T	Sold (part)	11/11/13	J	C	
78. -com stk Immunogen Inc.		None	J	T					
79. -U.S. Global Investors Eastern Europe (mutual)	A	Dividend	J	T					
80. -Vanguard REIT Vipers	A	Dividend	J	T					
81. -com stk Coca Cola	A	Dividend	J	T					
82. -Vanguard Strategic Equity Fund	A	Dividend	J	T					
83. -com stk Cisco Systems Inc.	A	Dividend			Sold	10/28/13	J		
84. -Value Line Fund Inc.	A	Dividend	L	T					
85. -Prudent Bear Fund		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 19

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Hornby, D.Brock

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86. -Fidelity Nordic Countries Fund	A	Dividend	J	T					
87. -I Shares MSCI Japan	A	Dividend	J	T					
88. -T. Rowe Price Africa & Middle East Fund	A	Dividend	J	T					
89. -I shares TR S&P Global Infrastructure Index Fund	A	Dividend	J	T					
90. -Vanguard FTSE All-World ex-US ETF	A	Dividend	K	T					
91. -Janus Triton Fund	A	Dividend	K	T					
92. -Parnassus Equity Income Fund	B	Dividend	K	T					
93. Pension Plan Acct. TIAA-CREF		None	N	T					
94. Pension Plan Acct. TIAA-CREF		None	P1	T					
95. 401K Plan CMC Interactive LLC									
96. -First Eagle Over A Fund	D	Dividend	M	T					
97. -Perkins Mid-Cap Value Inv (JMCVX) Fund	C	Dividend	K	T					
98. -Royce Total Return Fund	D	Dividend	L	T					
99. -Oakmark Equity & Income J Fund	D	Dividend	M	T					
100. -Columbia Acorn Fund	D	Dividend	M	T					
101. -Pimco Total Return Fund	A	Dividend	J	T					
102. -Principal Investors High Yield II Fund	B	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 19

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103. -Laudus Growth Investors	D	Dividend	L	T					
104. voting & nonvoting com stk Mandel Investment Corp.	A	Dividend				12/13/13	M	G	
105. See Sec. VIII note									
106. 1/2 unit ltd. partnership int. in Falls Development Assoc.,		None	K	R					
107. ltd. real estate partnership purchased 12/30/85; total									
108. of \$16,489.50 pd in installments completed 2/10/90									
109. Ltd. partnership int. in Miraculous, LLC purchased	A	Distribution	L	R					
110. 2/11/02 \$50,000									
111. Minnesota Life: endowment life	A	Dividend	J	T					
112. See Sec. VIII note									
113. Trust #1 (co-trustee)									
114. -AllianceBernstein Global High Income Fund Inc.	A	Dividend	J	T					
115. -Credit Suisse Asset Mgt Fund	A	Dividend	J	T					
116. -Virtus Total Return Fund fka DCA Total Return Fund	A	Dividend	J	T					
117. -Detroit Mich Water Supply Sys Bonds	A	Interest	J	T					
118. -Fort Myers FL Improvement Bonds	A	Interest	K	T					
119. -Miami-Dade Cty FL Aviation Bonds	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 19

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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)
120. -RBC Bank Prime MM Fund RBC Reserve Class	A	Interest	K	T					
121. -iShares iBoxx \$ High Yield Corporate Bond Fund	A	Dividend			Sold	03/04/13	J		
122. -Helios Strategic Income Fund	B	Dividend	K	T					
123. -Neuberger Berman Real Estate Sec. Income Fund	A	Dividend	J	T					
124. -Neuberger Berman High Yield Strategies Fund	A	Dividend	J	T					
125. -SPDR Series Trust Barclays High Yield Bond ETF	A	Dividend			Sold	03/04/13	J		
126. -Zweig Total Return Fund Inc.	A	Dividend			Sold	02/20/13	J		
127. -NJ Tpike Auth'y bond	A	Interest	K	T					
128. -Miami FL Revenue bond	A	Interest	K	T					
129. -Univ. of Maine Sys bond	A	Interest	K	T					
130. -Cape Coral FL water & sewer bond	A	Interest	K	T					
131. -Mass. Port Auth'y bond	A	Interest	K	T					
132. -MD Dep't of Transp. bond	A	Interest			Sold	08/09/13	K		
133. -NJ State Transp. Auth'y bond	A	Interest	K	T					
134. -Maine Health & Higher Edu bond	B	Interest	K	T					
135. -Fundamental Investors Income Fund	A	Dividend	J	T	Buy	03/04/13	J		
136. -Franklin Income Funds	B	Dividend	K	T	Buy	03/04/13	J		

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 \$5,000,000	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 12 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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)
137.					Buy (add'l)	08/12/13	K		
138. -Thornburg Investment Income Builder Fund	A	Dividend	J	T	Buy	03/04/13	J		
139. Trust #2 (co-trustee)									
140. -Alpine Total Dynamic Div. Fund	A	Dividend			Sold	07/25/13	J		
141. -com stk Ares Capital Corp.	A	Dividend	J	T					
142. -ADR Banco Santander, S.A.	B	Dividend	J	T					
143. -ADR Barclays Bank PLC	B	Dividend	J	T					
144. -com stk Blackstone Group L.P.	A	Dividend	K	T					
145. -Calamos Convert. Opportunities & Income Fund	A	Dividend	J	T					
146. -CBRE Clarion Global Real Estate Income Fund	A	Dividend			Sold	12/26/13	J		
147. -com stk Citizens Republic Bancorp Inc.		None			Sold	03/19/13	K	E	
148. -Clipper Funds Inc.		None			Sold	07/25/13	J		
149. -com stk Coeur D Alene Mines Corp.		None			Sold	08/08/13	J		
150. -com stk Corning Inc.	A	Dividend	J	T					
151. -pfd stk Dillards Capital Trust	B	Interest			Sold	08/08/13	K	B	
152. -Dodge & Cox Int'l Stock Fund	A	Dividend	J	T					
153. -com stk RR Donnelley & Sons Co.	A	Dividend			Sold	08/15/13	J		

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 13 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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)
154. -Eaton Vance Ltd Duration Income Fund	A	Dividend	J	T					
155. -com stk Exxon Mobil Corp.	D	Dividend	M	T	Sold (part)	07/25/13	L	F	
156. -Fidelity NJ Municipal money mkt	A	Interest	L	T					
157. -First Industrial Realty Trust Inc. PFD See Sec. VIII note	A	Dividend			Sold	04/01/13	J	B	
158. -com stk General Motors Co.	A	Dividend			Sold (part)	09/13/13	J	B	
159. See Sec. VIII note						12/02/13	J		
160. -pfd stk General Motors Co. See Sec. VIII note	A	Dividend				12/02/13	J		
161. -ADR Gerdau, S.A.	A	Dividend			Sold	08/08/13	J		
162. -GMAC LLC Note	B	Interest	K	T					
163. -Great Atl & Pac Tea Co Inc. Note	A	Interest	J	T					
164. -Hodges Fund	A	Dividend	J	T					
165. -com stk Hudson Pacific Properties Inc.	A	Dividend			Sold	08/15/13	J	C	
166. -Hussman Strategic Growth Fund	A	Dividend	J	T					
167. -pfd stk ING Groep, N.V. PFD	B	Dividend	K	T					
168. -ADR Itau Unibanco Holdings, S.A.	A	Dividend	K	T					
169. -Lexington Realty Trust See Sec. VIII note		None	J	T					
170. -Mkt Vectors ETF Trust Mkt Vectors India Sm. Cap Index ETF		None			Sold	07/30/13	J		

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 14 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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)
171. -Market Vectors Vietnam ETF	A	Dividend			Sold	12/26/13	J		
172. -com stk Merck & Co Inc	A	Dividend	K	T					
173. -com stk Morgan Stanley	A	Dividend	J	T					
174. -New Jersey State Tpk Auth. Revenue Bonds	A	Interest			Redeemed	05/01/13	J	A	
175. -ADR Nokia Oyj		None	J	T					
176. -Nuveen Global Value Opportunities Fund	A	Dividend	J	T					
177. -Nuveen Quality Preferred Income Fund 2	A	Dividend	J	T					
178. -pfd stk PartnerRe Ltd. PFD	A	Dividend	J	T					
179. -ADR Petroleo Brasileiro, S.A. Petrobras	A	Dividend			Sold	12/26/13	J		
180. -Pimco High Income Fund	A	Dividend	J	T					
181. -com stk Robert Half Int'l Inc.	A	Dividend			Sold	07/25/13	J	B	
182. -pfd stk Royal Bank of Scotland Group PLC PFD	B	Dividend	J	T					
183. -pfd stk SL Green Realty Corp. Ser. C See Sec. VIII note	A	Dividend			Sold	06/21/13	J	A	
184. -pfd stk Sterling Bancorp Trust I PFD	B	Interest	K	T					
185. -ADR Tata Motors Ltd.	A	Dividend	K	T	Buy (add'l)	08/07/13	J		
186. -Third Ave. Sm Cap Value Fund Inc.	A	Dividend	J	T					
187. -com stk Valley National Bancorp.	B	Dividend	K	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
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 \$5,000,000	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 15 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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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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)
188. -com stk Vishay Intertechnology Inc.		None			Sold	08/15/13	J	B	
189. -pfd stk Vornado Realty Trust	A	Dividend			Redeemed	02/19/13	K		
190. -ADS CTRIP.com Int'l Ltd.		None			Sold	08/08/13	K	D	
191. -com stk Freeport McMoran Copper & Gold Inc.	A	Dividend	K	T					
192. -pfd stk EPR Properties	B	Dividend	J	T					
193. -com stk Cisco Sys Inc.	A	Dividend	K	T					
194. -ADR Orange (previously France Telecom)	A	Dividend	J	T					
195. -com stk AT&T Inc.	A	Dividend	K	T					
196. -Select Income REIT	B	Dividend	K	T					
197. -com stk Equity Residential	A	Dividend	K	T	Buy (add'l)	08/08/13	K		
198. -Whitestone REIT	B	Dividend	J	T					
199. -com stk Microsoft Corp.	A	Dividend	K	T					
200. -com stk CSX Corp.	A	Dividend			Sold	09/20/13	K	C	
201. -com stk US Steel Corp.	A	Dividend			Buy	03/19/13	J		
202.					Sold	09/09/13	J		
203. -com stk Nordic American Tankers	A	Dividend	J	T	Buy	08/29/13	J		
204. -pfd stk Armour Residential REIT	B	Dividend	J	T	Buy	03/19/13	K		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 16 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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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205. -BGC Partners Inc.	A	Dividend	K	T	Buy	08/22/13	K		
206. -com stk Century Link Inc.	A	Dividend	K	T	Buy	08/19/13	K		
207. -First Potomac Realty Trust	A	Dividend	J	T	Buy	09/13/13	J		
208. -First Energy Corp.	A	Dividend	K	T	Buy	09/20/13	K		
209. -com stk Intrexon Corp.		None	J	T	Buy	09/23/13	J		
210. -Newmont Mining Corp.	A	Dividend	J	T	Buy	09/13/13	K		
211. -Pepco Holdings Inc.	A	Dividend	K	T	Buy	08/30/13	K		
212. -com stk Philip Morris Int'l Inc.	A	Dividend	K	T	Buy	08/28/13	K		
213. -SL Green Realty Pfd Ser. I	A	Dividend	K	T	Buy	08/14/13	K		
214. -Statoil ADR	A	Dividend	K	T	Buy	03/19/13	K		
215. -Teco Energy Inc.	A	Dividend	K	T	Buy	08/28/13	K		
216. -Teva Pharmaceuticals ADR	A	Dividend	K	T	Buy	09/09/13	K		
217. -com stk Chambers STR	A	Dividend	J	T	Buy	08/23/13	J		
218. -Mack Cali Realty Corp.	A	Dividend	K	T	Buy	09/17/13	J		
219. Trust #3 [REDACTED] trustee) See Sec. VIII note									
220. com stk Mandel Investment Corp. See Sec. VIII note	A	Dividend				12/31/13	O	G	
221. Fidelity Investments									

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 17 of 19

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Hornby, D.Brock

Date of Report

04/02/2014

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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222. -iShares Core S&P Small-Cap	A	Dividend	K	T	Buy	12/11/13	K		
223. -Guggenheim S&P 500A Equal Weight	A	Dividend	K	T	Buy	12/11/13	K		
224. -Fidelity SpartanA 500 Index AdvtgA	A	Dividend	K	T	Buy	12/11/13	K		
225. -Cash Mgt Acct	A	Interest	O	T	Open	10/09/13	O		

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 18 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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

Part VII, Investments and Trusts:

Lines 104-105, D.(1): Corporation liquidated.

Line 112: Entries on Lines 121-215 of 2012 Report are omitted from 2013 Report because they are assets subject to a power-of-attorney held for a [REDACTED] member.

Line 157: In 2012 Report, Line 280, erroneously stated entire holding sold; only part was sold on 12/21/12; D.(3): J; D.(4): A.

Lines 158-159, D.(1): Additional common stock acquired by stock exchange from preferred to common (see Line 160).

Line 160, D.(1): Preferred stock exchanged for common stock (see Line 159).

Line 169: In 2012 Report, Line 292, failed to report sold (part) on 5/31/12, D.(3): J; D.(4): no gain.

Line 183: In 2012 Report, Line 310, erroneously stated entire holding sold; only part was sold on 9/24/12; D.(3): J; D.(4): A.

Lines 219-220: This Trust should have been reported in 2012. It was created 10/13/12 with a single asset, common stock in Mandel Investment Corp.; B.(1): D; B.(2): Dividend; C.(1): O; C.(2): U

Line 220, D.(1): effected corporation liquidation.

FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Hornby, D.Brock

Date of Report

04/02/2014

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/ **D.Brock Hornby**

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