

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Hornak, Mark R.	2. Court or Organization U.S. Dist. Ct., W.D. Pa.	3. Date of Report 05/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse 700 Grant Street Pittsburgh, PA 15219		
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.	Executor	Estate #1
2.		
3.		
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.	2011	Agreement regarding retirement and withdrawal from the practice of law at the Buchanan Ingersoll & Rooney PC law firm
2.	1989	Buchanan Ingersoll & Rooney PC Retirement (Pension and Profit Sharing) Plans
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.		
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. American Intellectual Property Law Association (AIPLA)	January 29 to February 1, 2014	Phoenix, AZ	Attend AIPLA Annual meeting and make CLE presentation	Transportation, meals, lodging
2. George Mason Univ. School of Law	February 8 to 9, 2014	Fairfax, VA	Judge trial moot court proceedings	Lodging
3. American Bar Association	February 22 to 24, 2014	Ft. Lauderdale, FL	Attend ABA Labor & Employment Section Meeting and make CLE presentation	Transportation, meals, lodging
4. Federal Circuit Bar Association	June 18 to 21, 2014	Asheville, NC	Attend Federal Circuit Judicial Conference and make CLE presentation	Transportation, meals, lodging

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5.	Academy of Trial Lawyers of Allegheny County (PA)	October 1 to 3, 2014	Farmington, PA	Attend and participate in Annual Academy Retreat and CLE program	Meals and lodging
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	BarclaysBank	Revolving credit account	J
2.	Citibank	Revolving credit account	J
3.	New York University/NELNET	Student loan [REDACTED]	L
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. PNC Bank Checking Account #1	A	Interest	J	T					
2. PNC Bank Checking Account #2		None	J	T					
3. PNC Bank Checking Account #3	A	Interest	J	T					
4. PNC Bank Checking Account #4	A	Interest	J	T					
5. PNC Bank Statement Savings Account #1	A	Interest	J	T					
6. American Century Select Investors Fund	A	Int./Div.	J	T					
7. Pittsburgh Firefighters Federal Credit Union Cash Account	A	Interest	J	T					
8. General Electric Common Stock	A	Dividend			Sold	11/06/14	J	A	
9. US Series EE Savings Bonds	C	Interest	K	T	Redeemed (part)	03/17/14	J		
10.					Redeemed (part)	04/09/14	J		
11. US Series I Savings Bonds	D	Interest	K	T	Redeemed (part)	03/17/14	J		
12.					Redeemed (part)	04/09/14	K		
13. Buchanan Ingersoll & Rooney PC Profit Sharing Plan	B	Distribution	M	T	Distributed (part)	01/04/14	L		
14.					Distributed (part)	05/21/14	L		
15. Estate #1	C	Distribution							
16. American Century Prime Money Market Fund	A	Int./Div.	J	T					
17. PNC Bank Money Market Account #1	A	Interest	J	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 \$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. TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
19. Rollover IRA #1	E	Int./Div.	P1	T					
20. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2	B	Interest	K	T					
21. -Little Miami (OH) Jt. Fire/Rescue Dist. Taxable Bonds	B	Interest	K	T					
22. -Hildago County (TX) CTFB Bonds, Series B	B	Interest	K	T					
23. -American Mutual Fund, Class F-2	C	Dividend	M	T	Buy (add'l)	09/18/14	J		
24. -FPA Crescent Portfolio fund	A	Dividend	L	T					
25. -Intl. Growth and Income Fund, Class F-2	C	Dividend	L	T	Buy (add'l)	10/08/14	K		
26. -John Hancock Regional Bank Class A Fund	A	Dividend	K	T	Sold (part)	10/07/14	K	A	
27. -Lionleaf Partners Fund					Sold	09/12/14	L	C	
28. -Loomis Sayles Bond Fund Retail Class	B	Interest	L	T	Buy (add'l)	10/07/14	J		
29. -New World Fund Class F-2	A	Dividend	L	T					
30. -PIMCO All Asset All Authority Fund	D	Dividend	M	T					
31. -PIMCO Total Return Fund, Institutional Class (Y)									
32. -Primecap Odyssey Stock Fund	B	Dividend	M	T					
33. -T Rowe Price Institutional Floating Rate Fund	B	Interest	K	T	Sold (part)	09/03/14	K	A	
34. -T Rowe Price New Asia Fund					Sold	02/05/14	K	A	

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35. -Tweedy Browne Global Value Fund	A	Dividend	L	T					
36. -Vanguard Value Index Trust Fund					Sold	10/07/14	L	C	
37. -Massachusetts State Housing Fin. Agency Bonds, Taxable Series C	A	Interest	K	T					
38. -T Rowe Price European Stock Fund	A	Dividend	K	T	Sold (part)	10/07/14	K	A	
39. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	B	Interest	K	T					
40. -Penn Hills (PA) Sch. Dist. Bonds Series B	B	Interest	K	T					
41. -Akron (OH) CTFS Partn. RFDG Baseball Stadium Proj. Taxable Bonds	A	Interest	K	T					
42. -Montgomery County (PA) Taxable Series C Bonds	B	Interest	K	T					
43. -Pershing Prime Reserves Money Market Fund			K	T					
44. -Federated Prime Cash Obligations Fund					Buy	02/05/14	K		
45.					Sold	09/18/14	K	A	
46. -Goldman Sachs Strategic Income Fund Class I	A	Dividend	K	T	Buy	09/04/14	K		
47. -Fundamental Investors Class F-2	A	Dividend	L	T	Buy	09/11/14	L		
48. -American Developing World Growth and Income Fund F-2	A	Dividend	K	T	Buy	10/07/14	K		
49. -Vanguard Selected Value Fund	A	Dividend	L	T	Buy	10/07/14	L		

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

Part II, Line 1--This Agreement relates to my retirement from the practice of law at my prior law firm. All payments due to me pursuant to this Agreement were made in 2012, but the Agreement remains in force as to the balance of its terms which arguably include reference to a balance remaining in one Retirement Plan, so it is listed.

Part II, Line 2- -This is the date of my first participation in such plan while engaged in the practice of law. It is reported in Part VII, Line 14. The remaining balance is in the 401k component of that Plan. See note below regarding Part VII, Line 14.

Part VII, Line 2- -This is a non-interest bearing account

Part VII--Line 14. The Plan listed on Line 14 remains open, as it was rolled over into IRA #1 in part. It is a 401(k) Plan. These retirement funds are administered and managed by third-parties. I retain no control over the investments in them. All contributions to them relate solely to services performed prior to entering judicial service.

Part VII, Line 15- -Estate #1 is that of a deceased [REDACTED], and has no assets, other than its status as the plaintiff/claimant in civil/claims proceedings related to the decedent's death.

Part VII, Lines 43-44--These assets had no income in 2014.

Part VII, Line 31-- The Report for 2013 listed as an asset "PIMCO Total Return Fund, Institutional Class" at Lines 49 through 54, including sales. That holding was liquidated in its entirety as of the last reported partial sale on December 3, 2013, so amounts as to value and income are not listed on my 2014 report, as it was not an asset held during 2014. It is listed on Line 31 of this 2014 Report with the "(Y)" notation simply to allow for "tracing" of that asset from the 2013 Report to this explanatory Note.

Part VII, Lines 33 and 34--Several holdings were shown on my 2013 Report in separate Line listings. These were shown on that report as: T. Rowe Price New Asia Fund at lines 59, 72-73 and T. Rowe Price Institutional Floating Rate Fund, lines 58, 71-72. Each of these holdings/transactions are listed on this 2014 Report in a single location as to each at lines 34 and 33, respectively.

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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/ **Mark R. Hornak**

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
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Washington, D.C. 20544