

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 04/18/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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
3.	Power-of-Attorney	Member #1
4.	Co-Trustee	A Trust for the benefit of Member #2 (name of trust
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.		
2.		
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.)*

<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. 2011	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 American Law Institute	01/19-21/2011	Philadelphia, PA	Council Meeting	paid travel, lodging and meal expenses
2. The National Academies	04/10-12/2011	Washington, DC	CSTL Committee Meeting	paid travel, lodging and meal expenses
3. The American Law Institute	10/19-21/2011	New York, NY	Council Meeting	paid travel, lodging and meal expenses
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.)*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.

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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. Bank of America accounts	A	Interest	K	T					
2. Ally Bank accounts	A	Interest	M	T					
3. Emigrant Direct	B	Interest	M	T					
4. PayPal Money Market	A	Interest			Closed	07/21/11	J		
5. U.S. Savings Bonds		None	L	T					
6. Maine State Turnpike Auth'y bonds	C	Interest	L	T					
7. Maine Health & Higher Edu. Facs. Auth'y bonds	D	Interest	M	T	Redeemed (part)	07/1/11	J		
8.					Redeemed (part)	09/09/11	K		
9. Puerto Rico Public Finance Corp. bond	B	Interest	K	T					
10. Bangor ME bond	A	Interest	K	T					
11. Scarborough ME bond	B	Interest	K	T					
12. Maine Municipal Bond Bank bond	B	Interest	K	T					
13. Portland ME Airport bond	A	Interest	J	T					
14. Puerto Rico Public Buildings Auth'y bond	B	Interest	K	T					
15. Commonwealth of Puerto Rico bonds	D	Interest	M	T	Buy	05/05/11	K		
16.					Buy	09/21/11	K		
17.					Buy	09/23/11	K		

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 H = \$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	

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18. Univ. of Maine System bond	A	Interest	J	T					
19. Puerto Rico Elec. Power Auth'y bond	B	Interest	K	T					
20. Puerto Rico Aqueduct & Sewer Auth'y bond	A	Interest	K	T	Buy	07/12/11	J		
21. Lewiston, ME public improvement bond	B	Interest	K	T					
22. Windham, ME gen'l purpose bond	A	Interest	K	T	Buy	03/09/11	K		
23. ME Gov't Facilities Auth'y bond	A	Interest	J	T	Buy	01/26/11	J		
24. RBC Wealth Mgt money mkt acct	A	Interest	J	T					
25. T. Rowe Price Mutual Int'l Stock Funds	A	Dividend	K	T					
26. (Y) see Part VIII for explanation									
27. The MP63 Fund, Inc. (mutual fund)	A	Dividend	L	T					
28. Brokerage Acct T. Rowe Price									
29. -Cash Management Account	A	Interest	J	T					
30. -com stk General Electric Co.	A	Dividend	J	T					
31. -ADR Diageo PLC new	A	Dividend	K	T					
32. -com stk Avon Products	A	Dividend	K	T					
33. -ETF I Shares MSCI Mexico	A	Dividend			Donated				
34. -com stk First Service Corp.		None	K	T					

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35. -com stk Sirius Satellite Radio		None			Sold	12/27/11	J		
36. -Barclays Bank PLC iPath Index Fund		None	J	T					
37. -com stk Newell Rubbermaid	A	Dividend	J	T					
38. -Vanguard Group Mutual Funds*									
39. ---Asset Allocation Fund*	A	Dividend	J	T					
40. ---Value Index Fund*	A	Dividend	K	T					
41. ---Inflation Protected Security Inv*	A	Dividend	K	T					
42. ---Strategic Equity Fund*	A	Dividend	J	T					
43. ---Tax Mgt Int'l Fund*	A	Dividend	J	T					
44. -Alpine Funds*									
45. ---Dynamic Dividend*	B	Dividend	K	T					
46. ---International Real Estate*	A	Dividend	K	T					
47. ---Alpine Found. Fund fka Dynamic Balance*	A	Dividend	J	T					
48. -Bridgeway Ultra-Small Company Mkt Fund*	A	Dividend	K	T					
49. -Matthews Asian Funds*									
50. ---Asia Growth Investor fka Asia Pacific*	A	Dividend	K	T					
51. ---India*	A	Dividend	K	T					

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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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52. -The Fairholme Fund*	B	Dividend	K	T					
53. -com stk Avon Products*	A	Dividend	K	T					
54. -com stk H.J. Heinz Co.*	A	Dividend	K	T	Sold (part)	10/24/11	J	A	
55. -com stk Illinois Tool Works*	A	Dividend	K	T	Sold (part)	10/24/11	J	A	
56. IRA Brokerage Acct T. Rowe Price #1									
57. -Cash Management Acct	A	Interest	J	T					
58. -com stk Intel Corp.	A	Dividend	K	T					
59. -com stk Starbucks Corp.	A	Dividend	K	T	Buy	01/12/11	J		
60. -com stk Popular, Inc.		None	J	T					
61. -Washington REIT	B	Dividend	K	T					
62. -com stk Pioneer Natural Resources	A	Dividend	K	T					
63. -ETF I Shares MSCI Japan	A	Dividend	J	T					
64. -mutual Fairholme Fund	A	Dividend	K	T					
65. -Blackrock Int'l Bond Portfolio	A	Dividend	J	T					
66. -American Campus Communities REIT	A	Dividend	K	T					
67. -com stk Grupo Televisa	A	Dividend	J	T					
68. -Turkish Investment Fund	A	Dividend	J	T					

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69. -Prudent Bear Fund		None	J	T					
70. -com stk Peabody Energy Corp.	A	Dividend	J	T					
71. -com stk Patriot Coal Corp.		None	J	T					
72. -Alpine Total Dynamic Div. Fund	A	Interest	J	T					
73. -T. Rowe Price Emerging Europe Fund		None	J	T					
74. -Matthews Korea Fund	A	Dividend	J	T					
75. -com stk Amazon.com		None	K	T					
76. -Wisdom Tree Large Cap Div Fund	B	Dividend	K	T					
77. IRA Brokerage Acct T. Rowe Price #2									
78. -Cash Management Acct	A	Interest	K	T					
79. -com stk DWS World Income Fund fkaDWS Europe Equity Fund	A	Dividend	J	T					
80. -com stk Powershares QQQ	A	Dividend	K	T					
81. -com stk Immunogen Inc.		None	J	T					
82. -U.S. Global Investors Eastern Europe (mutual)		None	J	T					
83. -Vanguard REIT Vipers	A	Dividend	J	T					
84. -com stk Coca Cola	A	Dividend	J	T					
85. -Vanguard Strategic Equity Fund	A	Dividend	J	T					

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86. -com stk Medtronic Inc.	A	Dividend			Sold	12/08/11	J		
87. -ADR Nokia Corp.	A	Dividend			Sold	12/08/11	J		
88. -Developers Diversified Realty REIT preferred Class H	A	Dividend			Sold	12/08/11	J		
89. (became DDR Corp. 09/12/11)									
90. -com stk Cisco Systems Inc.	A	Dividend	J	T					
91. -ADR Vodafone Group PLC	A	Dividend			Sold	12/08/11	J		
92. -com stk Nautilus Group Inc.		None			Sold	12/08/11	J		
93. -com stk Developers Diversified Realty REIT	A	Dividend			Sold	2/08/11	J		
94. (became DDR Corp. 09/12/11)									
95. -Value Line Fund Inc.	A	Dividend	K	T					
96. -Prudent Bear Fund		None	J	T					
97. -Fidelity Nordic Countries Fund	A	Dividend	J	T					
98. -I Shares MSCI Japan	A	Dividend	J	T					
99. -T. Rowe Price Africa & Middle East Fund	A	Dividend	J	T					
100. -I shares TR S&P Global Infrastructure Index Fund	A	Dividend	J	T					
101. -Vanguard FTSE All-World ex-US ETF	B	Dividend	K	T					
102. Pension Plan Acct. TIAA-CREF		None	M	T					

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103. Pension Plan Acct. TIAA-CREF		None	O	T					
104. 401K Plan CMC Interactive LLC									
105. -First Eagle Over A Fund	D	Dividend	M	T					
106. -Am. Fds Growth Fund R4 (RGAEX)	A	Dividend	K	T					
107. -Perkins Mid-Cap Value Inv (JMCVX) Fund	A	Dividend	J	T					
108. -Royce Total Return Fund	B	Dividend	L	T					
109. -Oakmark Equity & Income J Fund	B	Dividend	L	T					
110. -Selected American Fund	A	Dividend	K	T					
111. -Columbia Acorn Fund	C	Dividend	L	T					
112. -Pimco Total Return Fund	A	Dividend	J	T					
113. -Schwab Int'l Index Fund	A	Dividend	K	T					
114. -Principal Investors High Yield II Fund	B	Dividend	J	T					
115. nonvoting stk Mandel Investment Corp.	D	Dividend	N	U					
116. 1/2 unit ltd. partnership int. in Falls Development Assoc.,									
117. ltd. real estate partnership purchased 12/30/85; total									
118. of \$16,489.50 pd in installments completed 2/10/90		None	K	R					
119. ltd. partnership int. in Miraculous, LLC, ltd.									

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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. real estate partnership purchased 2/11/02 \$50,000	A	Distribution	L	R					
121. Minnesota Life: endowment life	A	Dividend	J	T					
122. Hornby Zeller Properties LLC (Y)									
123. BACHZA, Inc. (Y)									
124.									
125. Member #1 (upon member's death assumed)									
126. power-of-atty on 8/25/11 and reporting									
127. only for period thereafter)									
128. -Advent Claymore Global Convert. Sec. & Income Fund	B	Dividend			Sold	10/31/11	J		
129. -AGIC Convert. & Income Fund	A	Dividend			Sold	10/27/11	J		
130. -AGIC Convert. & Income Fund II		None			Sold	10/31/11	J		
131. -AllianceBernstein Global Bond Fund Cl. A		None	J	T					
132. -AllianceBernstein Global High Income Fund Inc.	B	Dividend	K	T					
133. -Alpine Total Dynamic Div. Fund	C	Dividend			Sold	10/27/11	M		
134. -Alpine Ultra Short Tax Opt. Income Fund Investor Cl.	A	Dividend	J	T					
135. -Bank of America Subord. InterNotes	D	Interest	L	T					
136. -Calamos Convert. Opportunities & Income Fund	C	Dividend	K	T	Sold (part)	10/27/11	K		

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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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. -Calamos Global Dynamic Income Fund	A	Dividend	J	T					
138. -Calamos Strategic Total Return Fund	B	Dividend	K	T					
139. -Cohen & Steers Closed End Opportunity Fund Inc.	A	Dividend	J	T					
140. -Cornerstone Strategic Value Fund Inc.	D	Dividend	K	T					
141. -Cornerstone Total Return Fund Inc.	C	Dividend			Sold	10/31/11	K		
142. -Credit Suisse High Yield Bond Fund	C	Dividend			Sold	10/27/11	L		
143. -Cross Timbers Royalty Trust	B	Dividend	K	T					
144. -Virtus Total Return Fund fka DCA Total Return Fund	B	Dividend	K	T					
145. -Delaware River Port Auth'y PA&NJ Marine Terminal Bonds	B	Interest	K	T					
146. -Dividend & Income Fund Inc.	A	Dividend			Sold	10/27/11	K		
147. -Dreyfus High Yield Strategies Fund	B	Dividend			Sold	10/27/11	K	C	
148. -Eaton Vance Ltd Duration Income Fund	B	Dividend	K	T					
149. -Eaton Vance Nat'l Municipal Income Trust	A	Dividend			Sold	10/31/11	J	A	
150. -Eaton Vance Tax Advantaged Div. Income Fund	B	Dividend	K	T					
151. -Essex Cty NJ Improve. Auth. Bonds	B	Dividend	K	T					
152. -1st Tr. Strategic High Inc. Fund II - became III 10/04/11	C	Dividend	L	T					
153. -FL State Bd of Public Educ. Bonds	B	Interest	L	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	
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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)
154. -Gen'l Elec. Cap. Corp. InterNotes	C	Interest	L	T					
155. -Gen'l Motors Acceptance Corp. SmartNotes	B	Interest	K	T					
156. -Harris Cty TX Cultural ED Bonds	A	Interest	J	T					
157. -Helios High Yield Fund	A	Dividend	J	T					
158. -Hudson Cty NJ Improve. Auth. Bonds- Weehawken	B	Interest	K	T					
159. -Hudson Cty NJ Improve. Auth. Bonds- Hudson Cty lease		None	L	T	Buy	11/04/11	L		
160. -ING Global Equity Div. & Prem. Opportunity Fund	A	Dividend			Sold	10/27/11	J		
161. -Inland Western Retail Real Estate Trust	C	Dividend	L	T					
162. -iShares iBoxx \$ High Yield Corp. Bond Fund	C	Dividend	L	T					
163. -iShares iBoxx \$ Invest. Grade Corp. Bond Fund	A	Dividend	J	T					
164. -Invesco High Yield Invest. Fund Inc.	A	Dividend	K	T					
165. -Invesco Van Kampen High Income Trust II	A	Dividend	J	T					
166. -JEA FL Elec. Sys. Rev. Elec. Bonds	B	Interest	L	T					
167. -Lazard World Div. & Income Fund Inc.	A	Dividend	J	T					
168. -LMP Real Estate Income Fund Inc.	A	Dividend	K	T					
169. -Neuberger Berman Real Estate Sec. Income Fund Inc.	B	Dividend	L	T					
170. -New America High Income Fund Inc.	A	Dividend	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	
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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)
171. -NJ Healthcare FACS Meridian Health Sys Bonds	B	Interest	K	T					
172. -Nuveen Floating Rate Income Fund	B	Dividend	K	T					
173. -Nuveen Floating Rate Income Opportunity Fund	A	Dividend	J	T					
174. -Oppenheimer AMT-FREE Munis Fund Cl. A	A	Dividend	J	T					
175. -com stk Pace Oil & Gas Ltd.		None	J	T					
176. -Peace River/Manasota Regl Wtr Bonds	B	Interest	K	T					
177. -Pengrowth Enegy Corp. aka Pengrowth Energy Trust	B	Dividend	L	T					
178. - Permian Basin Royalty Trust	B	Dividend	K	T					
179. -Pimco Income Strategy Fund	B	Dividend	J	T					
180. -Pimco Income Strategy Fund II	C	Dividend	K	T					
181. -com stk Provident Energy Ltd.	A	Dividend	J	T					
182. -Prudential Financial Inc. InterNotes	B	Interest	K	T					
183. -Puerto Rico Aqueduct & Sewer Bonds 2024	B	Interest	L	T					
184. -Puerto Rico Aqueduct & Sewer Bond 2044		None	K	T	Buy	11/04/11	L		
185. -Puerto Rico Common. G/O RFDG Gen'l Purpose Bonds	B	Interest	K	T					
186. -Puerto Rico Common. Hwys & Streets Bonds	B	Interest	K	T					
187. -Puerto Rico Sales Tax Fing Cofina Bonds Ser. A	B	Interest	L	T	Buy	11/30/11	L		

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	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	

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	(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. -Puerto Rico Sales Tax Fing Cofina Bonds 2010 Ser. C		None	K	T					
189. -Sabine Royalty Trust	B	Dividend	K	T					
190. -San Juan Basin Royalty Trust	A	Dividend	J	T					
191. -SLM Corp CPI Linked Med. Term Notes Ser A Mar. 2017	A	Interest			Sold	10/31/11	J	C	
192. -SPDR Barclays Capital High Yield Bond ETF	B	Dividend	K	T					
193. -Texas State Tpke Auth. Cent. TX Tpke Bonds	B	Interest	L	T					
194. -USA Loan Fund DST	D	Dividend	L	T					
195. -Valero Energy Corp. New Notes	B	Interest	L	T					
196. -Wells Fargo Advantage Global Div. Opport. Fund	A	Dividend			Sold	10/31/11	J		
197. -Wells Fargo Advantage Multi Sector Income Fund	A	Dividend	J	T					
198. -Western Asset High Income Fund II Inc.	A	Dividend			Sold	10/27/11	K		
199. -Western Asset Worldwide Income Fund Inc.	A	Dividend	K	T					
200. -Zweig Total Return Fund Inc.	B	Dividend	K	T					
201. -RBC Bank Account	A	Interest	L	T					
202. -Clipper Fund Inc.	A	Dividend	L	T					
203. -DNP Select Income Fund Inc.	A	Dividend	J	T					
204. -com stk NRG Energy Inc. New		None	L	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
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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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205. -SPDR S&P Dividend ETF	A	Dividend	J	T					
206. -com stk Goldcorp Inc.	A	Dividend	K	T					
207. -Credit Suisse Asset Mgt Income Fund Inc.	A	Dividend	J	T					
208. -Blackrock Diversified Income Strategies Fund Inc.	A	Dividend	K	T					
209. -Highland Credit Strategies Fund	A	Dividend	K	T					
210. -Helios Strategic Income Fund Inc.	B	Dividend	L	T					
211. -MFS Intermediate Income Trust	A	Dividend	J	T					
212. -Pacholder High Yield Fund PHF	A	Dividend	J	T					
213. -Putnam Master Intermediate Income Trust	A	Dividend	J	T					
214. -NJ Econ. Dev't Auth'y Motor Vehicle Bond		None	M	T	Buy	11/08/11	M		
215. -NJ Transp. Fund Rapid Transit Bond due 2020	A	Interest	L	T	Buy	11/08/11	L		
216. -NJ Transp. Fund Rapid Transit Bond due 2038	A	Interest	K	T	Buy	11/08/11	K		
217. -Virgin Islands Pub. Fin. Auth'y Bonds		None	M	T	Buy	11/28/11	M		
218. -NJ Econ. Dev. Auth'y Primary & Secondary Educ. Bond		None	M	T	Buy	11/08/11	M		
219. -NJ Educ. F Auth'y Princeton T Bond		None	L	T	Buy	11/14/11	M		
220. -Puerto Rico Pub. Bldg. Auth'y Gov't Fac. Revenue Bond		None	M	T	Buy	11/17/11	M		
221. -Gloucester Cty NJ Improvement Auth'y Bond		None	K	T	Buy	11/14/11	K		

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222. -Calamos Global Dynamic Income Fund	A	Dividend	J	T					
223. -Prudent Bear Federated Equity Funds		None	J	T					
224. -RMR Real Estate Income Fund	A	Dividend	K	T					
225. -Managed High Yield Plus Fund Inc.	A	Dividend			Sold	10/27/11	K		
226. -Pharmaceutical Holder Trust Depository Rept	A	Dividend			Sold	10/27/11	J	B	
227. -Oil SVC Holders Trust Depository Rept		None			Sold	10/27/11	J	C	
228. -Proshares Ultra S&P 500 ETF		None			Sold	10/27/11	K	C	
229. -Proshares Tr Ultra FTSE China	A	Dividend			Sold	10/27/11	J		
230. -Proshares Tr Ultra Real Estate	A	Dividend			Sold (part)	10/27/11	J		
231.					Sold	11/07/11	K		
232. -Eaton Vance Enhanced Equity Income Fund II	A	Dividend			Sold	10/30/11	J		
233. -Powershares Global Exch. Traded Tr Fund Emg Mkts SovDebt	A	Dividend			Sold	10/31/11	J		
234. -Vestn Realty Mtg II		None			Sold	10/31/11	K		
235. -Proshares Ultrashort S&P 500 ETF		None			Sold	11/07/11	J		
236. -Proshares Ultrashort MSCI EAFE ETF		None			Sold	11/07/11	K		
237. -Proshares Ultrashort FTSE China 25		None			Sold	11/07/11	K		
238. -Proshares Ultrashort MSCI Emerging Mkt ETF		None			Sold	11/07/11	K		

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(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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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239. -Proshares Ultrashort Gold ETF		None			Sold	11/07/11	K		
240. -Proshares Ultrashort Telecommunications		None			Sold	11/07/11	J		
241. -Proshares Ultrashort Financials		None			Sold	11/07/11	J		
242. -Proshares Ultrashort Basic Materials		None			Sold	11/07/11	K		
243. -Proshares Ultrashort Russell 2000		None			Sold	11/07/11	J		
244. -Proshares Ultra Midcap 400		None			Sold	11/07/11	J		
245. -Proshares Ultrashort QQQ		None			Sold	11/07/11	J		
246. -Proshares Ultrashort MSCI Europe		None			Sold	11/07/11	K		
247. -Proshares Ultrashort Utilities Fund		None			Sold	11/07/11	J		
248. -Proshares Ultrashort Yen	A	Dividend			Sold	11/07/11	K		
249. -RMR Real Estate Income Fund	B	Dividend	K	T					
250.									
251. Member #2 (became Trustee/Co-Trustee)									
252. member as result of a death on 08/08/11 and reporting only									
253. for period thereafter)									
254. -Alpine Global Dynamic Div. Fund	A	Dividend			Sold	10/27/11	J		
255. -Alpine Total Dynamic Div. Fund	A	Dividend			Sold	10/27/11	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

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Hornby, D. Brock

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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)

256. -Alpine Global Premier Properties Fund		None	J	T					
257. -AllianceBernstein Global High Income Fund Inc.		None	J	T					
258. -American Strategic Income Portfolio III Fund		None			Sold	10/27/11	J		
259. -Blackrock Senior High Income Fund		None	J	T					
260. -Boulder Growth & Income Fund		None			Sold	10/27/11	J		
261. -Cornerstone Progressive Return Fund		None			Sold	10/27/11	K		
262. -Credit Suisse Asset Mgt Fund	A	Dividend			Sold	10/27/11	J		
263. -Credit Suisse High Yield Bond Fund		None			Sold	10/27/11	J		
264. - Virtus Total Return Fund fka DCA Total Return Fund		None	J	T					
265. -Detroit Mich Water Supply Sys Bonds	A	Interest	J	T					
266. -Div. & Income Fund		None			Sold	10/27/11	J		
267. - DNP Select Income Fund Inc.	A	Dividend	J	T					
268. -Dreyfus High Yield Strategies Fund		None			Sold	10/27/11	J	A	
269. -First Strategic High Income Fund II	A	Dividend	K	T					
270. -Fort Myers FL Improvement Bonds		None	J	T					
271. -com stk Gladstone Capital Corp.		None			Sold	10/27/11	J		
272. -Helios Advantage Income Fund Inc.	A	Dividend	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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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)

273. -Highland Credit Strategies Fund	A	Dividend	J	T					
274. -Managed High Yield Plus Fund Inc.	A	Dividend			Sold	10/27/11	J		
275. -Miami-Dade Cty FL Aviation Bonds	A	Interest	J	T					
276. -RBC Bank Prime MM Fund RBC Reserve Class	A	Interest	L	T					
277. -nonvoting stk Mandel Investment Corp.	D	Dividend	N	U					
278. -AGIC Convert. & Income Fund	A	Dividend			Sold	10/27/11	J		
279. -Calamos Convertible Opportunities & Income Fund	A	Dividend			Sold	10/27/11	J		
280. -ING Global Equity Div. & Prem. Opportunity Fund		None			Sold	10/27/11	J		
281. -Western Asset High Income Fund		None			Sold	10/27/11	J		
282. -iShares iBoxx \$ High Yield Corporate Bond Fund		None	J	T					
283. -Helios High Income Fund		None	J	T					
284. -Helios Strategic Income Fund		None	J	T					
285. -Helios Multi Sector High Income Fund	A	Dividend	J	T					
286. -Invesco High Yield Investments Fund	A	Dividend	J	T					
287. -Invesco Van Kampen Senior Income Trust		None	J	T					
288. -MFS Intermediate Income Trust		None	J	T					
289. -Neuberger Berman Real Estate Sec. Income Fund		None	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 \$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	

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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)
290. -Neuberger Berman High Yield Strategies Fund	A	Dividend	J	T					
291. -Pimco Income Strategy Fund		None	J	T					
292. -com stk Pengrowth Energy Corp.	A	Dividend	J	T					
293. -Putnam Master Intermediate Income Trust		None	J	T					
294. -SPDR Series Trust Barclays High Yield Bond ETF	A	Dividend	J	T					
295. -Western Asset High Income Fund II Inc.		None			Sold	10/27/11	J		
296. -Zweig Total Return Fund Inc.	A	Dividend	J	T					
297.									
298. [redacted] Member #3 ([redacted] Co-Trustee of [redacted] trust									
299. on 11/17/11 with following investments and reporting only									
300. for period thereafter):									
301. -AAG Holding Co. Inc. debentures		None	J	T					
302. -pfd ADR Aegon N.V.	A	Dividend	J	T					
303. -Alpine Total Dynamic Div. Fund	A	Dividend	J	T					
304. -com stk & warrants American Int'l Group Inc.		None	J	T					
305. -pfd stk Apartment Investment & Management Co.		None	K	T					
306. -com stk Ares Capital Corp.	A	Dividend	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 \$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	

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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.)

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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)
307. -ADR Banco Santander, S.A.		None	J	T					
308. -ADR Barclays Bank PLC	A	Dividend	J	T					
309. -com stk Blackstone Group L.P.	A	Dividend	J	T					
310. -Brandywine Realty Trust		None	K	T					
311. -BRT Realty Trust		None	J	T					
312. -Calamos Convert. Opportunities & Income Fund	A	Dividend	J	T					
313. -CBRE Clarion Global Real Estate Income Fund	A	Dividend	J	T					
314. -com stk Citizens Republic Bancorp Inc.		None	K	T					
315. -Clipper Funds Inc.	A	Dividend	J	T					
316. -com stk Coeur D Alene Mines Corp.		None	J	T					
317. -com stk Corning Inc.	A	Dividend	J	T					
318. -pfd stk Dillards Capital Trust		None	K	T					
319. -Dodge & Cox Int'l Stock Fund	A	Dividend	J	T					
320. -com stk RR Donnelley & Sons Co.	A	Dividend	J	T					
321. -com stk Eastman Kodak		None	J	T					
322. -Eaton Vance Ltd Duration Income Fund	A	Dividend	J	T					
323. -com stk Exxon Mobil Corp.	B	Dividend	M	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
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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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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)
324. -Fidelity NJ Municipal money mkt	A	Interest	K	T					
325. -First Industrial Realty Trust Inc. PFD		None	J	T					
326. -com stk General Motors Co.		None	J	T					
327. -pfd stk General Motors Co.	A	Dividend	J	T					
328. -ADR Gerdau, S.A.	A	Dividend	J	T					
329. -GMAC LLC Note	A	Interest	J	T					
330. -Great Atl & Pac Tea Co Inc. Note		None	J	T					
331. -Hodges Fund		None	J	T					
332. -com stk Hudson Pacific Properties Inc.	A	Dividend	J	T					
333. -Hussman Strategic Growth Fund		None	J	T					
334. -pfd stk ING Groep, N.V. PFD	A	Dividend	J	T					
335. -ADR Itau Unibanco Holdings, S.A.	A	Dividend	J	T					
336. -com stk Lee Enterprises Inc.		None	J	T					
337. -Lexington Realty Trust		None	J	T					
338. -Mkt Vectors ETF Trust Mkt Vectors India Sm. Cap Index ETF	A	Dividend	J	T					
339. -Market Vectors Vietnam ETF	A	Dividend	J	T					
340. - com stk McCormick & Schmicks Seafood Restaurants Inc.		None	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
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Hornby, D. Brock

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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.)

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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)

341. -com stk Merck & Co Inc		None	K	T					
342. -com stk Morgan Stanley		None	J	T					
343. -pfd stk MPG Office Trust Inc.		None	J	T					
344. -New Jersey State Tpk Auth. Revenue Bonds		None	J	T					
345. -ADR Nokia Oyj		None	J	T					
346. -Nuveen Global Value Opportunities Fund	A	Dividend	J	T					
347. -Nuveen Quality Preferred Income Fund 2	A	Dividend	J	T					
348. -pfd stk PartnerRe Ltd. PFD	A	Dividend	K	T					
349. -ADR Petroleo Brasileiro, S.A. Petrobras	A	Dividend	J	T					
350. -Pimco High Income Fund	A	Dividend	J	T					
351. -pfd stk Realty Income Corp.	A	Dividend	K	T					
352. -com stk Robert Half Int'l Inc.	A	Dividend	J	T					
353. -pfd stk Royal Bank of Scotland Group PLC PFD	A	Dividend	J	T					
354. -com stk Ruths Hospitality Group Inc		None	J	T					
355. -pfd stk SL Green Realty Corp. Ser. C		None	J	T					
356. -pfd stk SL Green Realty Corp. Ser. D		None	K	T					
357. -pfd stk Sterling Bancorp Trust I PFD	A	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
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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.)

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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)
358. -ADR Tata Motors Ltd.		None	J	T					
359. -pfd stk Taubman Centers Inc.	A	Dividend	K	T					
360. -Third Ave. Sm Cap Value Fund Inc.	A	Dividend	J	T					
361. -com stk Valley National Bancorp.		None	K	T					
362. -com stk Vishay Intertechnology Inc.		None	J	T					
363. -pfd stk Vornado Realty Trust		None	K	T					
364.									
365.									
366.									
367.									

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

Part VII, Line 26: Several investments previously listed here are now listed under T. Rowe Price brokerage because they were transferred there 10/29/11. They are noted with "*."

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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/ 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