

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 04/30/2013
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 01/01/2012 to 12/31/2012
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
3.	Power-of-Attorney	Member #1
4.	Co-Trustee	A Trust for the benefit of #2
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.)*

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. 2012	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	The National Academies	03/25-27/2012	Washington, DC	CSTL Committee Meeting	paid travel, lodging and meal expenses
2.	New York State Bar Association	03/27-28/2012	Toronto, Ontario, Canada	Ontario-New York Legal Summit	paid travel, lodging and meal expenses
3.	CEELI Institute	6/3-11/2012	Tunis, Tunisia	Trainer, Building Judicial Integrity Program	paid travel, lodging and meal expenses
4.	The American Law Institute	10/17-20/2012	New York, NY	Council Meeting	paid travel, lodging and meal expenses
5.	CEELI Institute	12/11-16/12	Prague, Czech Republic	Gathering of Central & Eastern European Judicial Exchange Network	paid travel, lodging and meal expenses

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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	L	T					
2. Ally Bank accounts	B	Interest	M	T					
3. Emigrant Direct	B	Interest	M	T					
4. U.S. Savings Bonds		None	L	T					
5. Maine State Turnpike Auth'y bonds	C	Interest	L	T					
6. Maine Health & Higher Edu. Facs. Auth'y bonds	D	Interest	N	T	Redeemed (part)	01/3/12	K		
7.					Redeemed (part)	07/30/12	K		
8.					Buy (add'l)	01/11/12	L		
9.					Buy (add'l)	07/12/12	J		
10.					Buy (add'l)	08/09/12	K		
11.					Buy (add'l)	08/15/12	K		
12.					Buy (add'l)	08/28/12	K		
13.					Buy (add'l)	12/13/12	J		
14. Puerto Rico Public Finance Corp. bond	B	Interest	K	T					
15. Bangor ME bonds	A	Interest	K	T	Buy (add'l)	08/24/12	J		
16. Scarborough ME bond	B	Interest	K	T					
17. Maine Municipal Bond Bank bonds	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	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. Portland ME Airport bonds	A	Interest	L	T	Buy (add'l)	08/03/12	K		
19. Puerto Rico Public Buildings Auth'y bond	B	Interest	K	T					
20. Commonwealth of Puerto Rico bonds	D	Interest	M	T	Redeemed (part)	05/03/12	K	C	
21.					Buy (add'l)	05/07/12	K		
22. Univ. of Maine System bonds	A	Interest	K	T	Buy (add'l)	09/20/12	K		
23. Puerto Rico Elec. Power Auth'y bonds	B	Interest	K	T					
24. Puerto Rico Aqueduct & Sewer Auth'y bonds	B	Interest	K	T					
25. Lewiston, ME public improvement bond	B	Interest	K	T					
26. Windham, ME gen'l purpose bond	A	Interest	K	T					
27. ME Gov't Facilities Auth'y bond	A	Interest	J	T					
28. RBC Wealth Mgt money mkt acct	A	Interest	J	T					
29. T. Rowe Price Mutual Int'l Stock Funds	A	Dividend	K	T					
30. The MP63 Fund, Inc. (mutual fund)	A	Dividend			Sold	01/26/12	L	D	
31. Brokerage Acct T. Rowe Price	H1								
32. -Cash Management Account	A	Interest	J	T					
33. -com stk General Electric Co.	A	Dividend	K	T					
34. -ADR Diageo PLC new	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -com stk Avon Products *See Sec. VIII. note	A	Dividend	J	T					
36. -com stk First Service Corp.		None	K	T					
37. -Barclays Bank PLC iPath Index Fund		None	J	T					
38. -com stk Newell Rubbermaid	A	Dividend			Donated				
39. -Vanguard Group Mutual Funds									
40. ---Balanced Index fka Asset Allocation Fund	A	Dividend	K	T					
41. ---Value Index Fund	B	Dividend	K	T					
42. ---Inflation Protected Security Inv	A	Dividend	K	T					
43. ---Strategic Equity Fund	A	Dividend	J	T					
44. ---Tax Mgt Int'l Fund	A	Dividend	J	T					
45. -Alpine Funds									
46. ---Dynamic Dividend	C	Dividend	K	T					
47. ---International Real Estate	A	Dividend	K	T					
48. ---Alpine Found. Fund	A	Dividend	K	T					
49. -Bridgeway Ultra-Small Company Mkt Fund	A	Dividend	K	T					
50. -Matthews Asian Funds									
51. ---Asia Growth Investor		None	K	T					

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52. ---India	A	Dividend	K	T					
53. -The Fairholme Fund		None	L	T					
54. *See Sec. VIII. note									
55. -com stk H.J. Heinz Co.	B	Dividend	K	T					
56. -com stk Illinois Tool Works	A	Dividend	L	T					
57. IRA Brokerage Acct T. Rowe Price #1									
58. -Cash Management Acct	A	Interest	J	T					
59. -com stk Intel Corp.	A	Dividend	K	T					
60. -com stk Starbucks Corp.	A	Dividend	L	T					
61. -com stk Popular, Inc.		None	J	T					
62. -Washington REIT	B	Dividend	K	T					
63. -com stk Pioneer Natural Resources	A	Dividend	K	T	Sold (part)	04/30/12	J	D	
64. -ETF I Shares MSCI Japan	A	Dividend	J	T					
65. -mutual Fairholme Fund		None	K	T					
66. -Blackrock Int'l Bond Portfolio	A	Dividend	J	T					
67. -American Campus Communities REIT	A	Dividend	K	T					
68. -com stk Grupo Televisa	A	Dividend	K	T					

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69. -Turkish Investment Fund	A	Dividend	K	T					
70. -Prudent Bear Fund		None	J	T					
71. -com stk Peabody Energy Corp.	A	Dividend	J	T					
72. -com stk Patriot Coal Corp. (Y)									
73. -Alpine Total Dynamic Div. Fund	A	Interest	J	T					
74. -T. Rowe Price Emerging Europe Fund	A	Dividend	J	T					
75. -Matthews Korea Fund	A	Dividend	J	T					
76. -com stk Amazon.com		None	K	T	Sold (part)	04/30/12	K	E	
77. -Wisdom Tree Large Cap Div Fund	B	Dividend	L	T					
78. -Facebook Inc.		None	K	T	Buy	07/05/12	K		
79.					Buy (add'l)	07/27/12	J		
80. IRA Brokerage Acct T. Rowe Price #2									
81. -Cash Management Acct	A	Interest	J	T					
82. -com stk DWS World Income Fund fkaDWS Europe Equity Fund		None			Sold	02/01/12	J		
83. -com stk Powershares QQQ	A	Dividend	K	T					
84. -com stk Immunogen Inc.		None	J	T					
85. -U.S. Global Investors Eastern Europe (mutual)	A	Dividend	J	T					

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86. -Vanguard REIT Vipers	A	Dividend	J	T					
87. -com stk Coca Cola	A	Dividend	J	T					
88. -Vanguard Strategic Equity Fund	A	Dividend	J	T					
89. -com stk Cisco Systems Inc.	A	Dividend	J	T					
90. -Value Line Fund Inc.		None	K	T					
91. -Prudent Bear Fund		None	J	T					
92. -Fidelity Nordic Countries Fund	A	Dividend	J	T					
93. -I Shares MSCI Japan	A	Dividend	J	T					
94. -T. Rowe Price Africa & Middle East Fund	A	Dividend	J	T					
95. -I shares TR S&P Global Infrastructure Index Fund	A	Dividend	J	T					
96. -Vanguard FTSE All-World ex-US ETF	B	Dividend	K	T					
97. -Janus Triton Fund	A	Dividend	K	T	Buy	09/04/12	J		
98. -Parnassus Equity Income Fund	A	Dividend	J	T	Buy	09/04/12	J		
99. Pension Plan Acct. TIAA-CREF		None	N	T					
100. Pension Plan Acct. TIAA-CREF		None	P1	T					
101. 401K Plan CMC Interactive LLC									
102. -First Eagle Over A Fund	D	Dividend	M	T	Buy (add'l)	02/15/12	K		

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103. -Am. Fds Growth Fund R4 (RGAEX)	A	Dividend			Sold	08/08/12	L	D	
104. -Perkins Mid-Cap Value Inv (JMCVX) Fund	A	Dividend	K	T					
105. -Royce Total Return Fund	B	Dividend	L	T					
106. -Oakmark Equity & Income J Fund	B	Dividend	L	T	Buy (add'l)	02/15/12	K		
107. -Selected American Fund	A	Dividend			Sold	02/14/12	K	C	
108. -Columbia Acorn Fund	C	Dividend	M	T	Buy (add'l)	02/15/12	K		
109. -Pimco Total Return Fund	A	Dividend	J	T					
110. -Schwab Int'l Index Fund	A	Dividend			Sold	02/14/12	K	B	
111. -Principal Investors High Yield II Fund	B	Dividend	J	T					
112. -Landus Growth Investors	B	Dividend	L	T	Buy	08/09/12	L		
113. voting & nonvoting com stk Mandel Investment Corp. (X)	D	Dividend	O	U					
114. 1/2 unit ltd. partnership int. in Falls Development Assoc.,									
115. ltd. real estate partnership purchased 12/30/85; total									
116. of \$16,489.50 pd in installments completed 2/10/90		None	K	R					
117. ltd. partnership int. in Miraculous, LLC, ltd.									
118. real estate partnership purchased 2/11/02 \$50,000	D	Distribution	L	R					
119. Minnesota Life: endowment life	A	Dividend	J	T					

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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)
120.									
121. Family Member #1 (power of atty)									
122. -AllianceBernstein Global Bond Fund Cl. A	A	Dividend	J	T					
123. -AllianceBernstein Global High Income Fund Inc.	C	Dividend	K	T					
124. -Alpine Ultra Short Tax Opt. Income Fund Investor Cl.	A	Dividend			Sold	08/08/12	J		
125. -Bank of America Subord. InterNotes	C	Interest			Redeemed	06/15/12	M		
126. -Calamos Convert. Opportunities & Income Fund	C	Dividend	K	T					
127. -Calamos Global Dynamic Income Fund	A	Dividend	J	T					
128. -Calamos Strategic Total Return Fund	B	Dividend	K	T					
129. -Cohen & Steers Closed End Opportunity Fund Inc.	A	Dividend	J	T					
130. -Cornerstone Strategic Value Fund Inc.	C	Dividend			Sold	08/08/12	K		
131. -Cross Timbers Royalty Trust	B	Dividend	K	T					
132. -Virtus Total Return Fund fka DCA Total Return Fund	B	Dividend	K	T					
133. -Delaware River Port Auth'y PA&NJ Marine Terminal Bonds	B	Interest			Redeemed	04/26/12	K		
134. -Eaton Vance Ltd Duration Income Fund	B	Dividend	K	T					
135. -Eaton Vance Tax Advantaged Div. Income Fund	B	Dividend	K	T					
136. -Essex Cty NJ Improve. Auth. Bonds	B	Interest			Sold	12/06/12	L	C	

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. -1st Tr. Strategic High Inc. Fund II - became III 10/04/11	B	Dividend			Sold	05/16/12	L		
138. -FL State Bd of Public Edu. Bonds	B	Interest	L	T					
139. -Gen'l Elec. Cap. Corp. InterNotes	C	Interest	M	T					
140. -Gen'l Motors Acceptance Corp. SmartNotes	B	Interest			Redeemed	08/15/12	K		
141. -Harris Cty TX Cultural ED Bonds	A	Interest	J	T					
142. -Helios High Yield Fund	A	Dividend	J	T					
143. -Hudson Cty NJ Improve. Auth'y Bonds- Weehawken	B	Interest	K	T					
144. -Hudson Cty NJ Improve. Auth'y Bonds- Hudson Cty lease	C	Interest			Sold	12/06/12	L	C	
145. -Inland Western Retail Real Estate Trust now Retail		None	L	T	Sold (part)	05/04/12	J		
146. Properties of America									
147. -iShares iBoxx \$ High Yield Corp. Bond Fund	C	Dividend	L	T					
148. -iShares iBoxx \$ Invest. Grade Corp. Bond Fund	A	Dividend	J	T					
149. -Invesco High Yield Invest. Fund Inc.	A	Dividend			Sold	05/16/12	K	B	
150. -Invesco Van Kampen High Income Trust II	A	Dividend	J	T					
151. -JEA FL Elec. Sys. Rev. Elec. Bonds	C	Interest	L	T					
152. -Lazard World Div. & Income Fund Inc.	A	Dividend			Sold	08/08/12	J	B	
153. -LMP Real Estate Income Fund Inc.	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 \$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)
154. -Neuberger Berman Real Estate Sec. Income Fund Inc.	B	Dividend	K	T					
155. -New America High Income Fund Inc.	A	Dividend	J	T					
156. -NJ Healthcare FACS Meridian Health Sys Bonds	A	Interest			Redeemed	01/11/12	K		
157. -Nuveen Floating Rate Income Fund	B	Dividend	K	T					
158. -Nuveen Floating Rate Income Opportunity Fund	A	Dividend	J	T					
159. -Oppenheimer AMT-FREE Munis Fund Cl. A	A	Dividend	J	T					
160. -com stk Pace Oil & Gas Ltd.		None	J	T					
161. -Peace River/Manasota Regl Wtr Bonds	B	Interest	K	T					
162. -Pengrowth Enegy Corp. aka Pengrowth Energy Trust	B	Dividend			Sold	12/31/12	K		
163. - Permian Basin Royalty Trust	B	Dividend	K	T					
164. -Pimco Income Strategy Fund	A	Dividend			Sold	05/16/12	K	A	
165. -Pimco Income Strategy Fund II	D	Dividend	K	T					
166. -com stk Provident Energy Ltd. (now Pembina Pipeline)	A	Dividend	J	T					
167. -Prudential Financial Inc. InterNotes	B	Interest	K	T					
168. -Puerto Rico Aqueduct & Sewer Bonds 2024 (grouped 2)	B	Interest	L	T					
169. -Puerto Rico Common. G/O RFDG Gen'l Purpose Bonds	B	Interest	K	T	Redeemed (part)	05/03/12	J	A	
170. -Puerto Rico Common. Hwys & Streets Bonds	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 = \$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)
171. -Puerto Rico Sales Tax Fing Cofina Bonds Ser. A	C	Interest	L	T					
172. -Puerto Rico Sales Tax Fing Cofina Bonds 2010 Ser. C	A	Interest	K	T					
173. -Sabine Royalty Trust	B	Dividend	K	T					
174. -San Juan Basin Royalty Trust	A	Dividend	J	T					
175. -SPDR Barclays Capital High Yield Bond ETF	C	Dividend	K	T					
176. -Texas State Tpke Auth'y Cent. TX Tpke Bonds	C	Interest			Redeemed	12/31/12	K		
177. -USA Loan Fund DST	D	Dividend	L	T					
178. -Valero Energy Corp. New Notes	B	Interest			Sold	11/27/12	L	D	
179. -Wells Fargo Advantage Multi Sector Income Fund	A	Dividend	J	T					
180. -Western Asset Worldwide Income Fund Inc.	B	Dividend	K	T					
181. -Zweig Total Return Fund Inc.	C	Dividend	L	T					
182. -RBC Bank Account	A	Interest	L	T					
183. -Clipper Fund Inc.		None			Sold	08/08/12	K		
184. -DNP Select Income Fund Inc.	A	Dividend			Sold	05/16/12	J	B	
185. -com stk NRG Energy Inc. New	A	Dividend	L	T					
186. -SPDR S&P Dividend ETF	A	Dividend	J	T					
187. -com stk Goldcorp Inc.	A	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	

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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)
188. -Credit Suisse Asset Mgt Income Fund Inc.	A	Dividend	J	T					
189. -Blackrock Diversified Income Strategies Fund Inc.	A	Dividend			Sold	08/08/12	K		
190. -Highland Credit Strategies Fund (now PYXIS)	A	Dividend			Sold	05/16/12	K		
191. -Helios Strategic Income Fund Inc.	C	Dividend	L	T					
192. -MFS Intermediate Income Trust	A	Dividend			Sold	05/16/12	J		
193. -Pacholder High Yield Fund PHF	B	Dividend	J	T					
194. -Putnam Master Intermediate Income Trust	A	Dividend			Sold	05/16/12	J		
195. -NJ Econ. Dev't Auth'y Motor Vehicle Bonds		None			Redeemed	07/12/12	M		
196. -NJ Transp. Fund Rapid Transit Bond due 2020	A	Interest			Sold	12/06/12	L	C	
197. -NJ Transp. Fund Bonds	D	Interest	N	T	Buy (add'l)	06/19/12	K		
198.					Buy (add'l)	06/21/12	L		
199.					Buy (add'l)	07/05/12	M		
200.					Buy (add'l)	08/09/12	K		
201. -Virgin Islands Pub. Fin. Auth'y Bonds	C	Interest	M	T					
202. -NJ Econ. Dev. Auth'y Bonds	D	Interest	M	T	Buy (add'l)	02/25/12	L		
203. -NJ Educ. F Auth'y Princeton T Bond	B	Interest	L	T					
204. -Puerto Rico Pub. Bldg. Auth'y Gov't Fac. Revenue Bond	D	Interest	M	T					

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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		

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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)
205. -Gloucester Cty NJ Improvement Auth'y Bond	A	Interest	K	T					
206. -Calamos Global Dynamic Income Fund	A	Dividend	J	T					
207. -Prudent Bear Federated Equity Funds		None			Sold	08/08/12	J		
208. -RMR Real Estate Income Fund	A	Dividend			Sold	08/08/12	K	D	
209. -Puerto Rico public improvement bonds	A	Interest	K	T	Buy	01/13/12	K		
210.	A	Interest	L	T	Buy (add'l)	05/04/12	L		
211. -East Windsor NJ Bd of Edu bond	B	Interest	L	T	Buy	02/25/12	L		
212. -NJ Tpike Auth'y bonds	C	Interest	M	T	Buy	05/17/12	M		
213. -Bloomfield Twp NJ Bd of Edu	B	Interest	L	T	Buy	06/19/12	L		
214. -N. Hudson Sewer Auth'y bond	C	Interest	M	T	Buy	08/17/12	M		
215. -Goldman Sachs Group bond	B	Interest	L	T	Buy	08/02/12	L		
216.									
217. ☐ Member #2 (co-trustee)									
218. -Alpine Global Premier Properties Fund	A	Dividend			Sold	08/08/12	J	A	
219. -AllianceBernstein Global High Income Fund Inc.	A	Dividend	J	T					
220. -Blackrock Senior High Income Fund	A	Dividend			Sold	05/16/12	J	A	
221. -Credit Suisse Asset Mgt Fund **See Sec. VIII. note	A	Dividend	J	T					

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	
	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
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		

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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)
222. - Virtus Total Return Fund fka DCA Total Return Fund	A	Dividend	J	T					
223. -Detroit Mich Water Supply Sys Bonds	A	Interest	J	T					
224. - DNP Select Income Fund Inc.	A	Dividend			Sold	05/16/12	J	A	
225. -First Strategic High Income Fund II	A	Dividend			Sold	05/16/12	K		
226. -Fort Myers FL Improvement Bonds	A	Interest	K	T					
227. -Helios Advantage Income Fund Inc.	A	Dividend			Sold	05/16/12	J	A	
228. -Highland Credit Strategies Fund (now PYXIS)	A	Dividend			Sold	05/16/12	J		
229. -Miami-Dade Cty FL Aviation Bonds	A	Interest	J	T					
230. -RBC Bank Prime MM Fund RBC Reserve Class	A	Interest	J	T					
231. -nonvoting stk Mandel Investment Corp.	D	Dividend			Distributed	06/12/12	M		
232. -iShares iBoxx \$ High Yield Corporate Bond Fund	A	Dividend	J	T					
233. -Helios High Income Fund	A	Dividend			Sold	05/16/12	J	A	
234. -Helios Strategic Income Fund	B	Dividend	K	T					
235. -Helios Multi Sector High Income Fund	A	Dividend			Sold	05/16/12	J	B	
236. -Invesco High Yield Investments Fund	A	Dividend			Sold	05/16/12	J	A	
237. -Invesco Van Kampen Senior Income Trust	A	Dividend			Sold	08/08/12	J	A	
238. -MFS Intermediate Income Trust	A	Dividend			Sold	05/16/12	J	A	

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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		

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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)

239. -Neuberger Berman Real Estate Sec. Income Fund	A	Dividend	J	T					
240. -Neuberger Berman High Yield Strategies Fund	A	Dividend	J	T					
241. -Pimco Income Strategy Fund	A	Dividend			Sold	05/16/12	J		
242. -com stk Pengrowth Energy Corp.	A	Dividend			Sold	12/31/12	J		
243. -Putnam Master Intermediate Income Trust	A	Dividend			Sold	05/16/12	J		
244. -SPDR Series Trust Barclays High Yield Bond ETF	A	Dividend	J	T					
245. -Zweig Total Return Fund Inc.	A	Dividend	J	T					
246. -NJ Tpike Auth'y bond	A	Interest	K	T	Buy	05/17/12	K		
247. -Miami FL Revenue bond	A	Interest	K	T	Buy	05/22/12	K		
248. -Univ. of Maine Sys bond	A	Interest	K	T	Buy	05/24/12	K		
249. -Cape Coral FL water & sewer bond	A	Interest	K	T	Buy	05/29/12	K		
250. -Mass. Port Auth'y bond	A	Interest	K	T	Buy	06/04/12	K		
251. -MD Dep't of Transp. bond	A	Interest	K	T	Buy	06/04/12	K		
252. -NJ State Transp. Auth'y bond	A	Interest	K	T	Buy	06/21/12	K		
253. -Maine Health & Higher Edu bond		None	K	T	Buy	08/09/12	K		
254.									
255. ☐ Member #3 ☐ co-trustee)									

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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		

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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. -AAG Holding Co. Inc. debentures	A	Interest			Sold	07/13/12	J	A	
257. -pfd ADR Aegon N.V.	A	Dividend			Sold	10/26/12	K	B	
258. -Alpine Total Dynamic Div. Fund	A	Dividend	J	T					
259. -com stk & warrants American Int'l Group Inc.		None			Sold	03/02/12	J		
260. -pfd stk Apartment Investment & Management Co.	A	Dividend			Sold	06/15/12	J	A	
261. -com stk Ares Capital Corp.	A	Dividend	J	T					
262. -ADR Banco Santander, S.A.	A	Dividend	J	T					
263. -ADR Barclays Bank PLC	B	Dividend	J	T					
264. -com stk Blackstone Group L.P.	A	Dividend	J	T					
265. -Brandywine Realty Trust	B	Dividend			Sold	05/03/12	K	A	
266. -BRT Realty Trust		None			Sold	05/03/12	J		
267. -Calamos Convert. Opportunities & Income Fund	A	Dividend	J	T					
268. -CBRE Clarion Global Real Estate Income Fund	A	Dividend	J	T					
269. -com stk Citizens Republic Bancorp Inc.		None	K	T					
270. -Clipper Funds Inc.	A	Dividend	J	T					
271. -com stk Coeur D Alene Mines Corp.		None	J	T					
272. -com stk Corning 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 \$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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Name of Person Reporting

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)

273. -pfd stk Dillards Capital Trust	B	Interest	K	T					
274. -Dodge & Cox Int'l Stock Fund	A	Dividend	J	T					
275. -com stk RR Donnelley & Sons Co.	A	Dividend	J	T					
276. -com stk Eastman Kodak		None			Sold	03/02/12	J		
277. -Eaton Vance Ltd Duration Income Fund	A	Dividend	J	T					
278. -com stk Exxon Mobil Corp.	D	Dividend	M	T					
279. -Fidelity NJ Municipal money mkt	A	Interest	K	T					
280. -First Industrial Realty Trust Inc. PFD	A	Dividend			Sold	12/21/12	J	A	
281. -com stk General Motors Co.		None	J	T					
282. -pfd stk General Motors Co.	A	Dividend	J	T					
283. -ADR Gerdau, S.A.	A	Dividend	J	T					
284. -GMAC LLC Note	B	Interest	J	T					
285. -Great Atl & Pac Tea Co Inc. Note		None	J	T					
286. -Hodges Fund		None	J	T					
287. -com stk Hudson Pacific Properties Inc.	A	Dividend	J	T					
288. -Hussman Strategic Growth Fund	A	Dividend	J	T					
289. -pfd stk ING Groep, N.V. PFD	B	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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Name of Person Reporting

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)
290. -ADR Itau Unibanco Holdings, S.A.	A	Dividend	J	T	Buy (add'l)	10/17/12	J		
291. -com stk Lee Enterprises Inc.		None			Sold	03/02/12	J		
292. -Lexington Realty Trust	A	Dividend	J	T					
293. -Mkt Vectors ETF Trust Mkt Vectors India Sm. Cap Index ETF	A	Dividend	J	T					
294. -Market Vectors Vietnam ETF	A	Dividend	J	T					
295. - com stk McCormick & Schmicks Seafood Restaurants Inc.		None			Sold	01/04/12	J		
296. -com stk Merck & Co Inc	A	Dividend	K	T					
297. -com stk Morgan Stanley	A	Dividend	J	T					
298. -pfd stk MPG Office Trust Inc.		None			Sold	03/02/12	J		
299. -New Jersey State Tpk Auth. Revenue Bonds	A	Interest	J	T					
300. -ADR Nokia Oyj	A	Dividend	J	T					
301. -Nuveen Global Value Opportunities Fund	A	Dividend	J	T					
302. -Nuveen Quality Preferred Income Fund 2	A	Dividend	J	T					
303. -pfd stk PartnerRe Ltd. PFD	A	Dividend	K	T					
304. -ADR Petroleo Brasileiro, S.A. Petrobras	A	Dividend	J	T					
305. -Pimco High Income Fund	A	Dividend	J	T					
306. -pfd stk Realty Income Corp.	A	Dividend			Sold	03/01/12	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	

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Hornby, D.Brock

Date of Report

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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)
307. -com stk Robert Half Int'l Inc.	A	Dividend	J	T					
308. -pfd stk Royal Bank of Scotland Group PLC PFD	B	Dividend	J	T					
309. -com stk Ruths Hospitality Group Inc		None			Sold	03/02/12	J		
310. -pfd stk SL Green Realty Corp. Ser. C	B	Dividend			Sold	09/24/12	J	A	
311. -pfd stk SL Green Realty Corp. Ser. D	A	Dividend			Sold	07/13/12	J	A	
312. -pfd stk Sterling Bancorp Trust I PFD	A	Interest	K	T					
313. -ADR Tata Motors Ltd.	A	Dividend	J	T					
314. -pfd stk Taubman Centers Inc.	B	Dividend			Sold	09/04/12	K	A	
315. -Third Ave. Sm Cap Value Fund Inc.	A	Dividend	J	T					
316. -com stk Valley National Bancorp.	B	Dividend	K	T					
317. -com stk Vishay Intertechnology Inc.		None	J	T					
318. -pfd stk Vornado Realty Trust	B	Dividend	K	T					
319. -ADS CTRIP.com Int'l Ltd.		None			Buy	03/08/12	J		
320. -com stk Freeport McMoran Copper & Gold Inc.	A	Dividend	J	T	Buy	03/09/12	J		
321. -pfd stk EPR Properties		None			Buy	10/09/12	J		
322. -ADR Gold Fields Ltd.		None			Buy	10/09/12	J		
323.					Sold	11/02/12	J	A	

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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Name of Person Reporting

Hornby, D.Brock

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04/30/2013

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. -com stk Cisco Sys Inc.	A	Dividend	J	T	Buy	10/11/12	J		
325. -ADR France Telecom		None			Buy	10/12/12	J		
326. -com stk AT&T Inc.		None			Buy	10/15/12	K		
327. -Select Income REIT		None			Buy	10/19/12	J		
328. -com stk Equity Residential		None			Buy	10/22/12	K		
329.					Sold	11/02/12	K	A	
330. -Whitestone REIT	A	Dividend	J	T	Buy	10/25/12	J		
331. -com stk Microsoft Corp.	A	Dividend	J	T	Buy	10/26/12	J		
332. -com stk CSX Corp.	A	Dividend	J	T	Buy	11/08/12	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
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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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Hornby, D.Brock

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

* Part VII. Investments and Trusts, Line 35 combines into one entry the two entries found at Lines 32 and 53 of the 2011 Report.

** Part VII. Investments and Trusts, Line 221: Error in 2011 Report - asset not sold.

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Hornby, D.Brock

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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
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