

UNITED STATES DISTRICT COURT  
DISTRICT OF MAINE



D. BROCK HORNBY  
DISTRICT JUDGE

156 FEDERAL STREET  
PORTLAND, MAINE 04101  
(207) 780-3280

SELF INITIATED  
AMENDMENT

April 12, 2004

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

RECEIVED  
APR 13 AM 10:26  
FINANCIAL  
DISCLOSURE UNIT

Re: Amendment to 2003 Financial Disclosure Report

Dear Committee on Financial Disclosure:

Enclosed for filing is my Amended 2003 Financial Disclosure Report (original + 3 copies). The amendment appears in Section VII, lines 114 through 134, as new information not included in my original report dated March 19, 2004.

In explanation, [REDACTED] entered a partnership agreement on March 7, 2004, with an effective date of December 12, 2003, as a result of which she was assigned a fractional general partnership interest in a [REDACTED] limited partnership. For reporting purposes, this is characterized as an aggregate ownership arrangement.

I apologize for the oversight. Please contact me if you have additional questions.

[REDACTED]

dlh  
enclosure  
FedEx

**\*\*AMENDED\*\***

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

**COPY**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                             |                                                                                                                                                                                                                             |                                                     |
|---------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| 1. Person Reporting (Last name, First name, Middle initial)<br>Hornby, D. Brock                                                             | 2. Court or Organization<br>District of Maine                                                                                                                                                                               | 3. Date of Report<br>4/12/2004                      |
| 4. Title (Article III Judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br>District Judge (active) | 5. Report Type (check appropriate type)<br><input type="radio"/> Nomination, <input type="radio"/> Date<br><input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final                | 6. Reporting Period<br>1/1/2003<br>to<br>12/31/2003 |
| 7. Chambers or Office Address<br>United States District Court<br>156 Federal Street<br>Portland, ME 04101                                   | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br>Reviewing Officer _____ Date _____ |                                                     |

**IMPORTANT NOTES:** The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ **NONE** - (No reportable positions.)

**SELF INITIATED  
AMENDMENT**

| POSITION                                         | NAME OF ORGANIZATION/ENTITY                                                                                                                                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Member, Board of Visitors                     | University of Maine School of Law                                                                                                                                   |
| 2. Member, Subcommittee on Court Program Design  | CPR Judicial Project Advisory Council, CPR Institute for Dispute Resolution                                                                                         |
| 3. Council Member                                | The American Law Institute                                                                                                                                          |
| 4. Trustee                                       | ██████████ Estate Planning                                                                                                                                          |
| 5. Member                                        | American Law Institute-American Bar Ass'n Committee on Continuing Legal Education                                                                                   |
| 6. Evaluator for the Graduate Program for Judges | University of Virginia School of Law<br>(see attached letter dated 12/28/01 from the Committee on Codes of Conduct of the Judicial Conference of the United States) |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

RECEIVED  
APR 13 A.D.  
DISCLOSURE

**FINANCIAL DISCLOSURE REPORT**

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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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1. 10/21/03

University of Virginia Law School Foundation

2,500.00

(see attached letter dated 12/28/01 from the  
Committee on Codes of Conduct of the  
Judicial Conference of the United States)

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria))☐ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1.

Hornby Zeller Associates (management consultants to state gov'ts in human services areas)  
(See Section VIII-Addendum to Section III(B))

**IV. REIMBURSEMENTS** - transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1. The New York Intellectual Property Law Ass'n, Inc.

Annual dinner for federal judiciary in New York City 3/28/03; paid lodging, meal and travel expenses

2. The American Law Institute-American Bar Ass'n

Meetings of Committee on Continuing Professional Education 4/24-25/03 in Chicago and 11/13-14/03; paid travel, lodging and meal expenses

3. University of Virginia School of Law

Evaluator for the Graduate Program for Judges 7/24-26/03 in Charlottesville, VA; paid travel, lodging and meal expenses

4. Kenan Institute Asia

Member of Judicial Delegation to Thailand 8/24-29/03; Institute paid travel, lodging and meal expenses

5. The American Law Institute

ALI Advisors Meeting on Restitution 9/19-21/03 in St. Louis, MO; paid travel, lodging and meal expenses

6. The American Law Institute

Council Meeting in New York City 10/22-25/03; paid travel, lodging and meal expenses

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## IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE - (No such reportable reimbursements.)

### SOURCE

### DESCRIPTION

7. American Ass'n for the Advancement of Science

Conference on Neuroscience and the Law 9/11-13/03 in Washington, D.C.; paid travel, lodging and meal expenses

# FINANCIAL DISCLOSURE REPORT

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## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

# FINANCIAL DISCLOSURE REPORT

Page 1 of 8

Name of Person Reporting

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## VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                      | C.<br>Gross value at end of<br>reporting period |                                    | D.<br>Transactions during reporting period         |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------|-------------------------------------------------|------------------------------------|----------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                  | (1)                                             | (2)                                | (1)                                                | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.<br>div. rent. or<br>int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                               |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 1. Fleet Bank accounts                                                                                                      | A                                       | Interest                             | L                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 2. E*Trade Bank accounts                                                                                                    | B                                       | Interest                             | L                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 3. GMAC Bank account                                                                                                        | B                                       | Interest                             | L                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 4. U.S. Savings Bonds                                                                                                       |                                         | None                                 | L                                               | T                                  | buy<br>1/30, 2/4, 3/4, 3/7                         | 1/23                           | K                               |                                |                                                                   |
| 5. T. Rowe Price Mutual Funds                                                                                               |                                         |                                      |                                                 |                                    | 3/13, 4/14, 5/6                                    |                                |                                 |                                |                                                                   |
| 6. International Stock                                                                                                      | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 7. International Bond                                                                                                       | A                                       | Dividend                             | J                                               | T                                  | sell                                               | 4/2                            | J                               | B                              |                                                                   |
| 8. Tax-free Intermediate                                                                                                    | A                                       | Dividend                             | J                                               | T                                  | sell                                               | 4/2                            | J                               | B                              |                                                                   |
| 9. Tax-free High Yield                                                                                                      | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 10. American Century Investments (mutual funds)                                                                             |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 11. Growth                                                                                                                  | A                                       | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 12. Ultra                                                                                                                   | A                                       | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 13. TIAA-CREF Mutual Funds                                                                                                  |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 14. Growth & Income                                                                                                         | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 15. Growth Equity                                                                                                           | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 16. Vanguard Group Mutual Funds                                                                                             |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 17. Asset Allocation Fund                                                                                                   | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 18. Value Index Fund                                                                                                        | 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 = \$250,000-\$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  
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# FINANCIAL DISCLOSURE REPORT

Page 2 of 8

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                             | C.<br>Gross value at end of<br>reporting period |                                           | D.<br>Transactions during reporting period                |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|---------------------------------------------|-------------------------------------------------|-------------------------------------------|-----------------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div. rent. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             |                                         |                                             |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 19. The MP63 Fund, Inc. (mutual fund)                                                                                       | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 20. Prudential Financial                                                                                                    | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 21. Brokerage Acct T. Rowe Price                                                                                            |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 22. Cash Management Account                                                                                                 | A                                       | Interest                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 23. com stk UNUM Provident Corp.                                                                                            | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 24. com stk Fairchild Semiconductor Int'l, Inc.                                                                             |                                         | None                                        | J                                               | T                                         | sell part                                                 | 12/31                          | J                               | D                              |                                                                   |
| 25. com stk Tupperware Corp.                                                                                                | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 26. com stk J P Morgan Chase & Co.                                                                                          | A                                       | Dividend                                    | J                                               | T                                         | buy                                                       | 1/21                           | J                               |                                |                                                                   |
| 27. com stk General Electric Co.                                                                                            | A                                       | Dividend                                    | J                                               | T                                         | buy                                                       | 1/21                           | J                               |                                |                                                                   |
| 28. com stk SBC Communications, Inc.                                                                                        | A                                       | Dividend                                    | J                                               | T                                         | buy                                                       | 1/21                           | J                               |                                |                                                                   |
| 29. com stk General Motors Corp.                                                                                            | A                                       | Dividend                                    | J                                               | T                                         | buy/sell                                                  | 1/21<br>6/7                    | J                               |                                |                                                                   |
| 30. IRA Brokerage Acct T. Rowe Price                                                                                        |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 31. Item omitted; below reportable value                                                                                    |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 32. com stk Tel-Instrument Electronics Corp.                                                                                |                                         | None                                        | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 33. Cash Management Acct                                                                                                    | A                                       | Interest                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 34. Item omitted; below reportable value                                                                                    |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 35. adr Delhaize Freres                                                                                                     |                                         | None                                        |                                                 | T                                         | sell                                                      | 3/17                           | J                               | A                              |                                                                   |
| 36. Item omitted; below reportable value                                                                                    |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |

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# FINANCIAL DISCLOSURE REPORT

Page 3 of 8

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.<br>div. rent. or<br>int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 37. Item omitted; below reportable value                                                                                    |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 38. com stk 1-800-Flowers.com                                                                                               |                                         | None                                        | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 39. U.S. Treasury Security, stripped int. pay't                                                                             |                                         | None                                        | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 40. com stk LandAmerica Financial Group, Inc.                                                                               | A                                       | Dividend                                    | K                                               | T                                         | sell part                                                 | 12/31                          | J                               | C                              |                                                                   |
| 41. com stk U.S. Bancorp                                                                                                    | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 42. com stk Intel Corp.                                                                                                     | A                                       | Dividend                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 43. com stk Emerson Radio                                                                                                   |                                         | None                                        | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 44. com stk Motorola, Inc.                                                                                                  | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 45. com stk Oakley, Inc.                                                                                                    | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 46. com stk LA-Z-BOY, Inc.                                                                                                  | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 47. com stk Starbucks Corp.                                                                                                 |                                         | None                                        | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 48. com stk Campbell Soup Co.                                                                                               | A                                       | Dividend                                    | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 49. com stk Fairchild Semiconductor Int'l, Inc.                                                                             |                                         | None                                        | J                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 50. com stk Inter Active Corp.                                                                                              |                                         | None                                        | K                                               | T                                         | buy                                                       | 1/21                           | K                               |                                |                                                                   |
| 51. com stk Sun Microsystems, Inc.                                                                                          |                                         | None                                        | J                                               | T                                         | buy                                                       | 2/23                           | J                               |                                |                                                                   |
| 52. IRA Brokerage Acct T. Rowe Price                                                                                        |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 53. Cash Management Acct                                                                                                    | A                                       | Interest                                    | K                                               | T                                         |                                                           |                                |                                 |                                |                                                                   |
| 54. Item omitted; below reportable value                                                                                    |                                         |                                             |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |

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# FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------|-------------------------------------------------|------------------------------------|----------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                  | (1)                                             | (2)                                | (1)                                                | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.<br>div. rent. or<br>int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 73. com stk Medtronic Inc.                                                                                                  | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 74. Item omitted; below reportable value                                                                                    |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 75. Item omitted; below reportable value                                                                                    |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 76. adr Nokia Corp.                                                                                                         | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 77. com stk Leather Factory, Inc.                                                                                           |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 78. Developers Diversified Realty REIT preferred<br>Class H *                                                               | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 79. com stk Cisco Systems Inc.                                                                                              |                                         | None                                 | J                                               | T                                  | buy                                                | 1/13                           | J                               |                                |                                                                   |
| 80. adr Vodafone Group PLC                                                                                                  | A                                       | Dividend                             | J                                               | T                                  | buy                                                | 1/13                           | J                               |                                |                                                                   |
| 81. com stk Nautilus Group Inc.                                                                                             | A                                       | Dividend                             | J                                               | T                                  | buy                                                | 1/13                           | J                               |                                |                                                                   |
| 82. com stk Developers Diversified Realty REIT                                                                              | A                                       | Dividend                             | J                                               | T                                  | buy                                                | 10/27                          | J                               |                                |                                                                   |
| 83. com stk SBC Communications Inc.                                                                                         | A                                       | Dividend                             | J                                               | T                                  | buy                                                | 1/21                           | J                               |                                |                                                                   |
| 84. Pension Plan Acct. TIAA-CREF                                                                                            | B                                       | Interest                             | M                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 85. Pension Plan Acct. TIAA-CREF                                                                                            | B                                       | Interest                             | O                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 86. Keogh Brokerage Account Value Line:                                                                                     |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 87. Value Line Cash Fund, Inc.                                                                                              | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 88. Value Line Fund, Inc.                                                                                                   | C                                       | Dividend                             | K                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 89. nonvoting stk Mandel Investment Corp.                                                                                   | B                                       | Dividend                             | N                                               | U                                  |                                                    |                                |                                 |                                |                                                                   |
| 90. 1/2 unit ltd. partnership int. in Falls Development<br>Assoc.,                                                          |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |

|                         |                                |                             |                               |                               |                       |
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# FINANCIAL DISCLOSURE REPORT

## Page 6 of 8

Name of Person Reporting  
Hornby, D. Brock

Date of Report  
4/12/2004

### VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                      | C.<br>Gross value at end of<br>reporting period |                                    | D.<br>Transactions during reporting period         |                                |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------|-------------------------------------------------|------------------------------------|----------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                  | (1)                                             | (2)                                | (1)                                                | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.<br>div. rent. or<br>int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.<br>buy, sell,<br>merger,<br>redemption) | (2)<br>Date:<br>Month -<br>Day | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 91. Ltd. real estate partnership purchased 12/30/85; total                                                                  |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 92. of \$16,489.50 pd in installments completed 2/10/90                                                                     |                                         | None                                 | K                                               | R                                  |                                                    |                                |                                 |                                |                                                                   |
| 93. Ltd. Partnership int. in Miraculous, LLC, Ltd. real estate                                                              | C                                       | Dividend                             | L                                               | R                                  |                                                    |                                |                                 |                                |                                                                   |
| 94. partnership purchased 2/11/02                                                                                           |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 95. Minnesota Life: endowment life                                                                                          | A                                       | Dividend                             | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 96. Pruco Life Insurance: Discovery life plus: flexible                                                                     |                                         | None                                 | K                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 97. (insurance name corrected)                                                                                              |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 98. Pruco Life Insurance: Variable Appreciable Life                                                                         |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 99. Conservative Balanced Portfolio                                                                                         |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 100. Flexible Management Portfolio                                                                                          |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 101. Equity Portfolio                                                                                                       |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 102. AIG SunAmerica Life Assurance Co.; life insurance on                                                                   |                                         | None                                 | K                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 103. [REDACTED] life (inadvertently omitted)                                                                                |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 104. [REDACTED] Estate Plan: I am trustee of two irrevocable                                                                |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 105. trusts funded by life insurance. One is funded with                                                                    |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 106. a term policy from Empire General w/fixed premiums. The                                                                |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 107. other is funded w/policies from MONY Life of America                                                                   |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 108. on a flexible premium where excess premiums are invested                                                               |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |

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3. Value Method Codes Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash/Market  
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# FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Hornby, D. Brock

Date of Report

4/12/2004

## VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--------------------------------------|-------------------------------------------------|------------------------------------|----------------------------------------------------|--------------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                  | (1)                                             | (2)                                | (1)                                                | If not exempt from disclosure  |                                 |                                |                                                                   |
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| 109. in the following MONY mutual funds:                                                                                    |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 110. Growth & Income                                                                                                        |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 111. International Growth                                                                                                   |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 112. Small Company Growth                                                                                                   |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 113. Growth                                                                                                                 |                                         | None                                 | J                                               | T                                  |                                                    |                                |                                 |                                |                                                                   |
| 114. Ltd P'ship #1 (aggregate ownership arrangement)                                                                        |                                         | None                                 | N                                               | T                                  | became<br>partner                                  | 12/12                          | N                               |                                |                                                                   |
| 115. -Smith Barney Money Funds                                                                                              |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 116. -com stk Hudson City Bancorp Inc.                                                                                      |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 117. -com stk Peoples Bank Bridgeport, CT                                                                                   |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 118. -pref stk Dominion Resources Inc.                                                                                      |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 119. -pref stk Public Storage                                                                                               |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 120. -pref stk Talisman Energy Inc.                                                                                         |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 121. -corp bond Ford Motor Credit Co. Notes                                                                                 |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 122. -gov't bond Federal Home Loan Mortgage Corp.<br>Bonds                                                                  |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 123. -gov't bond Federal Nat'l Mortgage Ass'n Bonds                                                                         |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 124. -muni bond Cottonwood AZ Municipal Bonds                                                                               |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 125. -muni bond NJ State Housing Finance Agency<br>Bonds                                                                    |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 126. -muni bond NY State Dormitory Auth. Mt. Sinai                                                                          |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |

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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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| 127. -muni bond Louisiana Public Facilities Auth.                                                                           |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 128. -muni bond VA State Housing Dev. Auth.                                                                                 |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 129. -muni bond Wisconsin State G/O Ref Vets<br>Housing                                                                     |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 130. -muni bond Clay Cty FL Housing Fin. Auth.                                                                              |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 131. -muni bond Puerto Rico Public Bldgs Auth.                                                                              |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 132. -muni bond CA State Var Purp.                                                                                          |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 133. -muni bond So. Jersey Port Corp.                                                                                       |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 134. -muni bond Wyandotte Cty Kansas City KS Uni<br>Gov't PLT CTL                                                           |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |
| 135. *correction on the nature of the stock                                                                                 |                                         |                                      |                                                 |                                    |                                                    |                                |                                 |                                |                                                                   |

|                         |                                |                             |                               |                               |                       |
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# FINANCIAL DISCLOSURE REPORT

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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Part III(B): [REDACTED] income derives from salary and distributions in the management consulting firm of which she is a fifty percent shareholder, officer and employee (subchapter S corporation). There is one other shareholder and officer. The firm's income derives from contracts with state governments and, occasionally, nonprofit corporations.

## FINANCIAL DISCLOSURE REPORT

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

4/12/04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

#### FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

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

COMMITTEE ON CODES OF CONDUCT  
OF THE  
JUDICIAL CONFERENCE OF THE UNITED STATES  
UNITED STATES DISTRICT COURT  
P.O. BOX 3485  
GREENSBORO, N.C. 27402

JUDGE WILLIAM H. BARBOUR, JR.  
JUDGE PETER W. BOWIE  
JUDGE MARY BECK BRISCOE  
JUDGE WILLIAM C. BRYSON  
JUDGE JOSEPH A. DICLERICO  
JUDGE FRANK MAYS HULL  
JUDGE DENIS R. HURLEY  
JUDGE DANIEL A. MANION  
JUDGE JAMES F. McCLURE, JR.  
JUDGE M. MARGARET McKEOWN  
JUDGE JAMES MAXWELL MOODY  
JUDGE THOMAS C. MUMMERT, III  
JUDGE GORDON J. QUIST  
JUDGE JUDITH W. ROGERS

MARILYN J. HOLMES  
COUNSEL

(202) 502-1100

JUDGE WILLIAM L. OSTEEEN  
CHAIRMAN

(336) 332-8090

December 28, 2001

The Honorable D. Brock Hornby  
Chief Judge  
United States District Court  
District of Maine  
156 Federal Street  
Portland, Maine 04101

Re: Docket No. 1603

Dear Judge Hornby:

Thank you for your inquiry. You have been requested to serve as an outside evaluator for the University of Virginia School of Law's graduate program for judges. You have asked the Committee whether your service as an evaluator would violate the Code of Conduct for United States Judges and whether your service is sufficiently related to teaching and education that it would be permissible for you to accept the modest stipend. With your inquiry is a letter from the director of the program, which provides details about the program.

Specifically, judges enrolled in the University of Virginia School of Law Graduate Program for Judges come to Charlottesville for six weeks of classes each of two consecutive summers. During the following academic year, each participant in the program writes a thesis under the supervision of a law school faculty member. The degree of Master of Laws in the Judicial Process is awarded upon successful completion of the course work and the

Page 2

thesis.

The Graduate Program for Judges receives a significant amount of its funding through a grant from the State Justice Institute. One of the conditions of the grant is that the University of Virginia have an outside evaluation of the program by a highly qualified reviewer. The evaluation process requires the reviewer to travel to Charlottesville during each summer for a period of two or three days each. The evaluator monitors classes, interviews judges concerning the quality of their experience, gathers pertinent information from program administrators, and prepares an interim report following the first summer and a final report following the second summer. The evaluations are an important part of the next grant application cycle. The Graduate Program would reimburse you for all expenses incurred in traveling to Charlottesville and preparing the reports. In addition, evaluators are paid a modest stipend.

The Committee concludes that your service as an evaluator is permissible under the Code of Conduct for United States Judges. Canon 4 provides that "[a] judge may engage in extra-judicial activities to improve the law, the legal system, and the administration of justice." Specifically, Canon 4A provides that "[a] judge may speak, write, lecture, teach, and participate in other activities concerning the law, the legal system, and the administration of justice." Clearly, your service as an evaluator of a graduate program for judges at the University of Virginia qualifies as such a permissible activity. There is also nothing inappropriate about the fact that your assessment will be used by the state to evaluate the program and to make future grant decisions. In fact, Canon 4C expressly notes that "[a] judge may make recommendations to public and private fund-granting agencies on projects and programs concerning the law, the legal system, and the administration of justice."

The Committee also concludes that you may accept the modest stipend, not because the activity is related to teaching, but because the payment does not constitute an honorarium as defined by the Code. Section 4(a) of the Ethics Reform Act of 1989 provides that "[n]o judicial officer or employee shall receive any honorarium while that individual is a judicial officer or employee." Section 4(b) defines honorarium to mean "a payment of money or anything of value (excluding or reduced by travel expenses as provided in 5 U.S.C. App. §§ 505(3) and (4)) for an appearance, speech or article by a judicial officer or employee."

Page 3

Your service as an evaluator, as explained by the program director, does not fall within this definition. Accordingly, the stipend does not constitute an honorarium. Rather, the Committee concludes that the stipend constitutes compensation for law-related extra-judicial activities permitted by the Code. Canon 6 provides that a judge may receive such compensation, so long as it does not exceed a reasonable amount, nor exceed the amount a person who is not a judge would receive for the same activity. Canon 6C also requires financial disclosures.

Additional restrictions on the receipt of compensation are imposed by the Ethics Reform Act of 1989. Specifically, § 3(a) provides that "[n]o covered senior employee may have outside earned income attributable to a calendar year which exceeds 15 percent of the annual rate of basic pay for Level II of the Executive Schedule under 5 U.S.C. § 5313 as of January 1 of that calendar year." Accordingly, although you may accept the stipend, it will count toward that 15 percent limitation.

We hope our response is helpful to you.

Sincerely,

A large black rectangular redaction box covering the signature of the Chairman.

Chairman