

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Hornak, Mark R.	2. Court or Organization U.S. Dist. Ct., W.D. Pa.	3. Date of Report 08/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse 700 Grant Street Pittsburgh, PA 15219		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Executor	Estate #1
2. Power of Attorney	Power of Attorney #1
3. Allegheny County (PA) Bar Association	Member, Board of Governors, ex officio
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2011	Agreement regarding retirement and withdrawal from the practice of law at the Buchanan Ingersoll & Rooney PC law firm
2. 1989	Buchanan Ingersoll & Rooney PC Retirement (Pension and Profit Sharing) Plans
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Pennsylvania Bar Association	January 30 to February 3, 2019	Grand Cayman Island, Cayman Islands	Attend annual meeting and participate in CLE presentations	Meals, lodging and transportation
2.	New York Intellectual Property Association	March 22 to 24, 2019	New York, NY	Attend Annual Meeting of Organization	Meals, lodging and transportation
3.	University of Virginia	April 1 to April 2, 2019	Charlottesville, VA	Judge Moot Court competition	Meals, lodging and transportation
4.	Allegheny County Bar Association (PA)	June 13 to 15, 2019	Champion, PA	Attend Bench-Bar conference and participate in CLE program	Meals and lodging

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5.	Georgetown University Law Center	September 20 to 21, 2019	Washington, D.C.	Attend legal seminar for federal judges	Meals, lodging and transportation
6.	Academy of Trial Lawyers of Allegheny County (PA)	September 25 to 27, 2019	Farmington, PA	Attend and participate in Annual Academy Retreat and CLE program	Meals and lodging
7.	Freedom Forum/Newseum	November 18 to 19, 2019	Philadelphia, PA	Attend Justice and Journalism educational program	Meals, lodging and transportation

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. Citibank	Revolving credit account	J
2. MOHELA	Refinanced student loan [REDACTED]	None
3. SoFi	Refinance loan	K
4. Barclays Bank	Revolving credit account	K
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PNC Bank Checking Account #1	A	Interest	J	T					
2. PNC Bank Checking Account #2		None	J	T					
3. PNC Bank Checking Account #3	A	Interest	J	T					
4. PNC Bank Checking Account #4	A	Interest	J	T					
5. PNC Bank Statement Savings Account #1	A	Interest	J	T					
6. Pittsburgh Firefighters Federal Credit Union Cash Account	A	Interest	J	T					
7. US Series EE Savings Bonds	B	Interest	K	T					
8. US Series I Savings Bonds	B	Interest	K	T	Redeemed (part)	02/25/19	J	B	
9.					Redeemed (part)	11/25/19	J	C	
10. Buchanan Ingersoll & Rooney PC Profit Sharing Plan (H)									
11. -Northwestern Mutual Life Select 100 Whole Life Policy	C	Dividend	M	T					
12. -T. Rowe Price Stable Value Fund	A	Interest	J	T					
13. PNC Bank Money Market Account #1	A	Interest	J	T					
14. TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
15. Estate #1		None							
16. Rollover IRA #1 (H)									
17. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2	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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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				
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18. -Hildago County (TX) CTFS Bonds, Series B	B	Interest	K	T					
19. -American Mutual Fund, Class F-2	C	Dividend	M	T	Sold (part)	11/20/19	K	C	
20. -FPA Crescent Portfolio Fund	B	Dividend	L	T					
21. -Intl. Growth and Income Fund, Class F-2	C	Dividend	M	T					
22. -New World Fund Class F-2	B	Dividend	L	T	Sold (part)	07/30/19	J	A	
23. -Primecap Odyssey Stock Fund	B	Dividend	M	T	Buy (add'l)	11/20/19	K		
24. -Tweedy Browne Global Value Fund		None			Sold	02/05/19	K		
25. -Massachussetts State Housing Fin. Agency Bonds, Taxable Series C	A	Interest	J	T	Sold (part)	09/03/19	J	A	
26. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	A	Interest	K	T	Sold (part)	10/01/19	J	A	
27. -Penn Hills (PA) Sch. Dist. Bonds Series B	B	Interest	K	T					
28. -Akron (OH) CTFS Partn. RFDG Baseball Stadium Proj. Taxable Bonds	A	Interest	K	T					
29. -Montgomery County (PA) Taxable Series C Bonds	B	Interest	K	T					
30. -Dodge & Cox Income Fund	B	Dividend	K	T	Sold (part)	07/31/19	K	B	
31. -Loomis Sayles Bond Fund Institutional Class	B	Dividend	L	T	Sold (part)	07/30/19	J		
32. -Amercian Funds Inflation Linked Bond Fund Class F-2	B	Dividend			Sold	03/21/19	K	A	
33. -GMO Benchmark-Free Allocation Service Fund Class PS	A	Dividend			Sold	06/05/19	L		
34. -BrandywineGlobal Opportunities Bond Fund Class IS	B	Dividend	K	T					

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35. -PIMCO Short Asset Investment Fund Institutional Class	B	Dividend	L	T	Buy (add'l)	03/25/19	K		
36.					Sold (part)	11/20/19	K		
37. -Vanguard Extended Market Index Fund Admiral Shares	A	Dividend	K	T	Buy (add'l)	03/29/19	J		
38.					Buy (add'l)	06/17/19	J		
39. -MFS Value Fund Class I	A	Dividend	K	T					
40. -Federated Prime Cash Obligations Fund Service Shares	B	Interest	M	T					
41.					Redeemed (part)	01/07/19	J		
42.					Redeemed (part)	01/22/19	J		
43.					Redeemed (part)	01/25/19	K		
44.					Redeemed (part)	02/07/19	J		
45.					Redeemed (part)	02/20/19	J		
46.					Redeemed (part)	03/07/19	J		
47.					Redeemed (part)	03/20/19	J		
48.					Buy (add'l)	03/25/19	K		
49.					Buy (add'l)	04/02/19	J		
50.					Redeemed (part)	04/08/19	J		
51.					Redeemed (part)	04/22/19	J		

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52.					Redeemed (part)	05/07/19	J		
53.					Redeemed (part)	05/20/19	J		
54.					Buy (add'l)	06/04/19	J		
55.					Redeemed (part)	06/07/19	J		
56.					Redeemed (part)	06/17/19	J		
57.					Redeemed (part)	06/20/19	J		
58.					Buy (add'l)	06/25/19	J		
59.					Buy (add'l)	06/28/19	J		
60.					Buy (add'l)	07/01/19	J		
61.					Redeemed (part)	07/08/19	J		
62.					Redeemed (part)	07/22/19	J		
63.					Buy (add'l)	08/01/19	L		
64.					Redeemed (part)	08/07/19	J		
65.					Redeemed (part)	08/19/19	J		
66.					Redeemed (part)	08/20/19	J		
67.					Redeemed (part)	08/20/19	J		
68.					Buy (add'l)	09/04/19	J		

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69.					Redeemed (part)	09/09/19	J		
70.					Redeemed (part)	09/18/19	J		
71.					Redeemed (part)	09/20/19	J		
72.					Redeemed (part)	10/07/19	J		
73.					Redeemed (part)	10/18/19	J		
74.					Redeemed (part)	10/21/19	J		
75.					Redeemed (part)	11/07/19	J		
76.					Redeemed (part)	11/18/19	J		
77.					Redeemed (part)	11/20/19	J		
78.					Buy (add'l)	11/22/19	K		
79.					Redeemed (part)	12/05/19	J		
80.					Redeemed (part)	12/09/19	J		
81.					Buy (add'l)	12/16/19	J		
82.					Redeemed (part)	12/18/19	J		
83.					Buy (add'l)	12/19/19	J		
84.					Redeemed (part)	12/20/19	J		
85.					Buy (add'l)	12/20/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
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86.					Buy (add'l)	12/24/19	J		
87. -T. Rowe Price Overseas Stock Fund Class I	B	Dividend	L	T	Buy	02/06/19	L		
88. -T. Rowe Price Balanced Fund Class I	B	Dividend	L	T	Buy	06/05/19	L		
89. -Cash (residual within IRA #1, Pershing LLC is the custodian)		None	J	T					

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

Part I, Line 2--I hold a power of attorney as to a living, competent member of my immediate family, exercised for the first time in 2017.

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

Part II, Line 2- -This is the date of my first participation in such plan while engaged in the practice of law. It is reported in Part VII, Line 10. The remaining balance is in the 401k component of that Plan. See note below regarding Part VII, Lines 11-12.

Part VII, Lines 2, 15, 24 and 89- -Line 2 is a non-interest bearing account. As to Lines 15, 24 and 89, there was no income received or attributed to the account or asset, and therefore none is reported.

Part VII, Line 10--The Plan listed on Line 10 remains open, as it was rolled over into IRA #1 in part. It is a 401(k) Plan. These retirement funds are administered and managed by third-parties. All contributions to them relate solely to services performed prior to entering judicial service.

Part VII, Lines 11-12. Consistent with the instructions, I am listing the assets held in this Plan, which is reported at Line 10.

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

Part VII, Lines 24, 31, 33 and 36--these assets were sold at a loss, so no "gain" is listed.

Part VII, Lines 40 to 86--these are transactions in/out of a money market fund, and there were no gains upon any listed complete or partial redemptions. The transactions columns on Line 40 are intentionally left blank.

Part VII, Line 89--This reflects residual cash in the Rollover IRA #1 as of December 31, 2019. This cash was held by the custodian in its own account (and not an account specified to me or an immediate family member), generated no income, gain or loss, and had a value of less than \$100 as of December 31, 2019.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Mark R. Hornak**

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

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