

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) Hornak, Mark R.	2. Court or Organization U.S. Dist. Ct., W.D. Pa.	3. Date of Report 05/12/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Courthouse 700 Grant Street Pittsburgh, PA 15219		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Executor	Estate #1
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

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

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

<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. 2015	Township of Upper St. Clair (PA), spouse's wages
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. George Mason Univ. School of Law	February 7 to 8, 2015	Fairfax, VA	Judge trial moot court proceedings	Lodging, meals
2. Pennsylvania Bar Institute	March 17 to 18, 2015	Philadelphia, PA	Participate in CLE program	Transportation, meals and lodging
3. New York Intellectual Property Law Association	March 27 to 29, 2015	New York, NY	Attend annual program	Transportation, meals and lodging (1 night)
4. Allegheny County Bar Association (PA)	June 19 to 20, 2015	Champion, PA	Attend bar conference and participate in CLE program	Meals and lodging
5. Academy of Trial Lawyers of Allegheny County (PA)	September 30 to October 2, 2015	Farmington, PA	Attend and participate in Annual Academy Retreat and CLE program	Meals and lodging

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	BarclaysBank	Revolving credit account	K
2.	Citibank	Revolving credit account	K
3.	New York University/NELNET	Student loan for dependent child	L
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PNC Bank Checking Account #1	A	Interest	J	T					
2. PNC Bank Checking Account #2		None	J	T					
3. PNC Bank Checking Account #3	A	Interest	J	T					
4. PNC Bank Checking Account #4	A	Interest	J	T					
5. Citizen's Bank Checking Account #1 (X)	A	Interest	J	T					
6. PNC Bank Statement Savings Account #1	A	Interest	J	T					
7. American Century Select Investors Fund	A	Int./Div.	J	T					
8. Pittsburgh Firefighters Federal Credit Union Cash Account	A	Interest	J	T					
9. US Series EE Savings Bonds	B	Interest	K	T					
10. US Series I Savings Bonds	B	Interest	K	T	Redeemed (part)	07/14/15	J	C	
11.					Redeemed (part)	12/28/15	J	C	
12. Buchanan Ingersoll & Rooney PC Profit Sharing Plan (H)	D	Int./Div.	M	T	Distributed (part)	01/20/15	L		
13. -Federated Capital Preservation Fund Y (X)	A	Interest	J	T	Redeemed (part)	01/20/15	L	A	
14. -Northwestern Mutual Life Select 100 Whole Life Policy (X)	C	Dividend	M	T					
15. Estate #1	C	Distribution							
16. American Century Prime Money Market Fund	A	Int./Div.	J	T					
17. PNC Bank Money Market Account #1	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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. TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
19. Rollover IRA #1 (H)	E	Int./Div.	P1	T	Distributed (part)	07/21/15	K		
20.					Distributed (part)	10/14/15	K		
21. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2	B	Interest	K	T					
22. -Little Miami (OH) Jt. Fire/Rescue Dist. Taxable Bonds	B	Interest	K	T					
23. -Hildago County (TX) CTFS Bonds, Series B	B	Interest	K	T					
24. -American Mutual Fund, Class F-2	D	Dividend	M	T					
25. -FPA Crescent Portfolio Fund	C	Dividend	L	T					
26. -Intl. Growth and Income Fund, Class F-2	C	Dividend	L	T					
27. -John Hancock Regional Bank Class A Fund	B	Dividend	K	T					
28. -Loomis Sayles Bond Fund Retail Class	C	Interest	K	T					
29. -New World Fund Class F-2	A	Dividend	L	T					
30. -PIMCO All Asset All Authority Fund	A	Dividend			Sold	05/14/15	M		
31. -Primecap Odyssey Stock Fund	C	Dividend	M	T					
32. -T Rowe Price Institutional Floating Rate Fund	B	Interest	K	T					
33. -Tweedy Browne Global Value Fund	C	Dividend	L	T					
34. -Massachusetts State Housing Fin. Agency Bonds, Taxable Series C	B	Interest	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -T Rowe Price European Stock Fund	A	Dividend	K	T					
36. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	A	Interest	K	T					
37. -Penn Hills (PA) Sch. Dist. Bonds Series B	B	Interest	K	T					
38. -Akron (OH) CTFS Partn. RFDG Baseball Stadium Proj. Taxable Bonds	B	Interest	K	T					
39. -Montgomery County (PA) Taxable Series C Bonds	B	Interest	K	T					
40. -Pershing Prime Reserves Money Market Fund	A	Interest	J	T	Redeemed (part)	04/28/15	J		
41.					Redeemed (part)	07/21/15	K		
42.					Redeemed (part)	07/28/15	J		
43.					Redeemed (part)	10/14/15	K		
44.					Redeemed (part)	10/27/15	J		
45.					Buy (add'l)	04/02/15	J		
46.					Buy (add'l)	05/18/15	K		
47.					Buy (add'l)	06/02/15	J		
48.					Buy (add'l)	08/18/15	J		
49.					Buy (add'l)	12/02/15	J		
50. -Goldman Sachs Strategic Income Fund Class 1	B	Dividend	K	T					
51. -Fundamental Investors Class F-2	C	Dividend	L	T					

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52. -American Developing World Growth and Income Fund F-2	A	Dividend	K	T					
53. -Vanguard Selected Value Fund	C	Dividend	L	T					
54. -Dodge & Cox Income Fund	A	Dividend	K	T	Buy	05/14/15	K		
55. -Wells Fargo Absolute Return Fund	A	Dividend	L	T	Buy	05/14/15	L		

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

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

Part II, Line 2- -This is the date of my first participation in such plan while engaged in the practice of law. It is reported in Part VII, Line 12. The remaining balance is in the 401k component of that Plan. See note below regarding Part VII, Lines 13-14.

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

Part VII, Line 5--I now have a power of attorney as to this checking account of my mother

Part VII, Line 12--The Plan listed on Line 12 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. The amount listed as "distributed" from the Plan resulted directly from the transaction listed on Line 13.

Part VII, Line 13-14. Consistent with the updated instructions, I am listing the assets held in this Plan.

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 19-20, 40-44--these amounts were distributed/redeemed from a money market account and generated no gain or loss upon distribution/redemption.

Part VII, Line 30--this asset was sold at a loss, so no "gain" is listed.

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IX. CERTIFICATION.

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

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

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

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544