

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 12/17/2018
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 01/01/2017 to 12/31/2017
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.	
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.)*

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

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

DATE	SOURCE AND TYPE
1. 2017	Township of Upper St. Clair (PA), 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Virginia CLE	January 6 to January 9, 2017	Charlottesville, VA	Participate in National Trial Advocacy College	Transportation, meals and lodging
2. George Mason University	February 11 to February 12, 2017	Fairfax, VA	Judge for Trial Moot Court Finals, Costello Trial Advocacy Program	Meals and lodging
3. New York Intellectual Property Law Association	March 30 to April 1, 2017	New York, NY	Attend annual program	Transportation, meals (1 night) and lodging (1 night)
4. Academy of Trial Lawyers of Allegheny County (PA)	October 5 to October 6, 2017	Farmington, PA	Attend and participate in Annual Academy Retreat and CLE program	Meals and lodging

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5.	Stanford University/Univ. of California CLE	December 13 to December 15, 2017	Mountain View, CA	Attend and participate in Patent Law CLE Program	Transportation, 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.	MOHELA	Refinanced student loan [REDACTED]	K
2.	SoFi	Refinance loan	L
3.	Barclays Bank	Revolving credit account	J
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. PNC Bank Statement Savings Account #1	A	Interest	J	T					
6. American Century Select Investors Fund	A	Int./Div.	J	T					
7. Pittsburgh Firefighters Federal Credit Union Cash Account	A	Interest	J	T					
8. US Series EE Savings Bonds	B	Interest	K	T					
9. US Series I Savings Bonds	B	Interest	K	T					
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. Estate #1	D	Distribution							
14. American Century Prime Money Market Fund	A	Int./Div.	J	T					
15. PNC Bank Money Market Account #1	A	Interest	J	T					
16. TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
17. Rollover IRA #1 (H)									

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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☐ 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)

18. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2	B	Interest	K	T					
19. -Little Miami (OH) Jt. Fire/Rescue Dist. Taxable Bonds	B	Interest			Sold	04/05/17	K		
20. -Hildago County (TX) CTFS Bonds, Series B	B	Interest	K	T					
21. -American Mutual Fund, Class F-2	B	Dividend	L	T	Sold (part)	03/01/17	K	C	
22.					Sold (part)	06/05/17	K	C	
23. -FPA Crescent Portfolio Fund	B	Dividend	L	T					
24. -Intl. Growth and Income Fund, Class F-2	B	Dividend	M	T					
25. -John Hancock Regional Bank Class A Fund	A	Dividend	L	T					
26. -New World Fund Class F-2	C	Dividend	M	T	Buy (add'l)	06/15/17	K		
27.					Buy (add'l)	06/30/17	K		
28. -Primecap Odyssey Stock Fund	D	Dividend	M	T					
29. -Tweedy Browne Global Value Fund	A	Dividend	L	T					
30. -Massachusetts State Housing Fin. Agency Bonds, Taxable Series C	A	Interest	K	T	Sold (part)	11/15/17	J	A	
31. -T Rowe Price European Stock Fund	A	Dividend	K	T	Sold (part)	06/15/17	K		
32. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	A	Interest	K	T					
33. -Penn Hills (PA) Sch. Dist. Bonds Series B	B	Interest	K	T					
34. -Akron (OH) CTFS Partn. RFDG Baseball Stadium Proj. Taxable Bonds	A	Interest	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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35. -Montgomery County (PA) Taxable Series C Bonds	B	Interest	K	T					
36. -Pershing Prime Reserves Money Market Fund	A	Interest	M	T	Redeemed (part)	01/09/17	J		
37.					Redeemed (part)	01/23/17	K		
38.					Redeemed (part)	01/25/17	J		
39.					Buy (add'l)	01/26/17	J		
40.					Redeemed (part)	02/07/17	J		
41.					Buy (add'l)	03/03/17	K		
42.					Redeemed (part)	03/07/17	J		
43.					Buy (add'l)	04/04/17	J		
44.					Redeemed (part)	04/07/17	J		
45.					Buy (add'l)	04/11/17	K		
46.					Redeemed (part)	04/25/17	J		
47.					Redeemed (part)	05/08/17	J		
48.					Buy (add'l)	06/02/17	J		
49.					Redeemed (part)	06/07/17	J		
50.					Buy (add'l)	06/07/17	L		
51.					Buy (add'l)	06/16/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Redeemed (part)	07/05/17	J		
53.					Redeemed (part)	07/07/17	J		
54.					Redeemed (part)	07/25/17	J		
55.					Redeemed (part)	08/07/17	J		
56.					Redeemed (part)	09/07/17	J		
57.					Buy (add'l)	10/03/17	J		
58.					Redeemed (part)	10/10/17	J		
59.					Redeemed (part)	10/25/17	J		
60.					Redeemed (part)	11/07/17	J		
61.					Buy (add'l)	11/16/17	J		
62.					Buy (add'l)	12/04/17	J		
63.					Redeemed (part)	12/07/17	J		
64.					Buy (add'l)	12/19/17	J		
65.					Buy (add'l)	12/20/17	K		
66.					Buy (add'l)	12/21/17	J		
67.					Buy (add'l)	12/26/17	J		
68.					Buy (add'l)	12/28/17	J		

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69.					Buy (add'l)	12/29/17	J		
70. -Fundamental Investors Class F-2	C	Dividend	L	T	Sold (part)	06/29/17	K	B	
71. -American Developing World Growth and Income Fund F-2	A	Dividend	K	T	Sold (part)	06/14/17	K		
72. -Vanguard Selected Value Fund	D	Dividend	L	T	Buy (add'l)	01/03/17	J		
73.					Sold (part)	06/05/17	J	A	
74. -Dodge & Cox Income Fund	B	Dividend	L	T					
75. -Wells Fargo Absolute Return Fund	B	Dividend	L	T	Sold (part)	01/25/17	J		
76. -Loomis Sayles Bond Fund Institutional Class	C	Dividend	L	T					
77. -PIMCO Short Asset Investment Fund (Institutional)	A	Int./Div.	J	T	Buy	05/05/17	J		
78. -Cash (residual within IRA #1, Pershing LLC is custodian)(X)			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, Line 2- -This is a non-interest bearing account

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 13- -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, 31, 71 and 75--these assets were sold at a loss, so no "gain" is listed.

Part VII, Lines 36-69--these are transactions in/out of a money market fund, and there were no gains upon any listed partial redemptions.

Part VII--The assets listed at Lines 12, 32, 35 and 62 of my 2016 Report are no longer listed, since as reflected in that 2016 Report, those assets were sold in their entirety in calendar year 2016.

Part VII, Line 10--In this Amended 2017 Annual Report, per the direction of the staff of the Committee, I am no longer listing the actual distributions to me from Rollover IRA #1, but I have, as was reflected in my original 2017 Annual Report, reflected in Part VII each transaction in an underlying IRA asset, some of which facilitated those distributions out to me.

Part VII, Line 78--This reflects residual cash in the Rollover IRA #1 as of December 31, 2017, and which was reported in my original 2017 Annual Report. This Amended 2017 Annual Report adds the name of the custodian of that cash, which is also the custodian of Rollover IRA #1. This cash was held by the custodian in its own account (and not an account specific to me or an immediate family member), generated no income, gain or loss, had a value of less than \$20, and was received by the IRA custodian on December 29, 2017.

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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