

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/11/2017
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 01/01/2016 to 12/31/2016
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. 2016	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. KCura	February 1 to 2, 2016	New York, NY	Participate in CLE Program	Transportation, meals and lodging
2. New York Intellectual Property Law Association	April 1 to 3, 2016	New York, NY	Attend annual program	Transportation, meals and lodging (1 night)
3. Newman IP American Inn of Court	April 20 to 21, 2016	Alexandria, VA	Participate in CLE Program	Transportation, meals and lodging
4. Allegheny County Bar Association (PA)	June 16 to 18, 2016	Champion, PA	Attend bar conference and participate in CLE program	Meals and lodging
5. Washington University School of Law	August 22 to 23, 2016	St. Louis, MO	Participate in law school 150th anniversary/student orientation program	Transportation, meals and lodging

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6.	Media Law Resource Center	September 21 to 22, 2016	Reston, VA	Participate in CLE Program	Transportation, meals and lodging
7.	Academy of Trial Lawyers of Allegheny County (PA)	September 29 to 30, 2016	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.	Bank of America	Revolving credit account	J
2.	Citibank	Revolving credit account	K
3.	New York University/NELNET	Student loan [REDACTED]	None
4.	MOHELA	Refinanced student loan [REDACTED]	L
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 I (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	Redeemed (part)	06/06/16	J	B	
10.					Redeemed (part)	08/27/16	J	C	
11. Buchanan Ingersoll & Rooney PC Profit Sharing Plan (H)	C	Int./Div.	M	T					
12. -Federated Capital Preservation Fund	A	Interest			Sold	04/01/16	J	A	
13. -Northwestern Mutual Life Select 100 Whole Life Policy	C	Dividend	M	T					
14. -T. Rowe Price Stable Value Fund	A	Interest	J	T	Buy	04/01/16	J		
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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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)

18. TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
19. Rollover IRA #1 (H)	E	Int./Div.	P1	T	Distributed (part)	07/07/16	J		
20.					Distributed (part)	08/08/16	J		
21.					Distributed (part)	09/07/16	J		
22.					Distributed (part)	10/07/16	J		
23.					Distributed (part)	11/07/16	J		
24.					Distributed (part)	12/07/16	J		
25. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2	B	Interest	K	T					
26. -Little Miami (OH) Jt. Fire/Rescue Dist. Taxable Bonds	B	Interest	K	T					
27. -Hildago County (TX) CTFS Bonds, Series B	B	Interest	K	T					
28. -American Mutual Fund, Class F-2	C	Dividend	M	T					
29. -FPA Crescent Portfolio Fund	C	Dividend	L	T					
30. -Intl. Growth and Income Fund, Class F-2	B	Dividend	L	T					
31. -John Hancock Regional Bank Class A Fund	B	Dividend	K	T					
32. -Loomis Sayles Bond Fund Retail Class	B	Interest			Sold	10/14/16	L		
33. -New World Fund Class F-2	A	Dividend	L	T					
34. -Primecap Odyssey Stock Fund	C	Dividend	M	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -T Rowe Price Institutional Floating Rate Fund	A	Interest			Sold	04/22/16	K		
36. -Tweedy Browne Global Value Fund	C	Dividend	L	T					
37. -Massachusetts State Housing Fin. Agency Bonds, Taxable Series C	A	Interest	K	T	Sold (part)	07/01/16	J	B	
38. -T Rowe Price European Stock Fund	A	Dividend	K	T					
39. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	A	Interest	K	T					
40. -Penn Hills (PA) Sch. Dist. Bonds Series B	B	Interest	K	T					
41. -Akron (OH) CTFPS Partn. RFDG Baseball Stadium Proj. Taxable Bonds	A	Interest	K	T					
42. -Montgomery County (PA) Taxable Series C Bonds	B	Interest	K	T					
43. -Pershing Prime Reserves Money Market Fund	A	Interest	K	T	Redeemed (part)	01/28/16	J		
44.					Buy (add'l)	02/17/16	J		
45.					Buy (add'l)	04/04/16	J		
46.					Redeemed (part)	04/26/16	J		
47.					Buy (add'l)	04/27/16	J		
48.					Buy (add'l)	06/02/16	J		
49.					Buy (add'l)	07/05/16	J		
50.					Redeemed (part)	07/07/16	J		
51.					Redeemed (part)	07/26/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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52.					Redeemed (part)	08/08/16	J		
53.					Buy (add'l)	08/16/16	J		
54.					Redeemed (part)	09/07/16	J		
55.					Buy (add'l)	10/04/16	J		
56.					Redeemed (part)	10/07/16	J		
57.					Redeemed (part)	10/26/16	J		
58.					Redeemed (part)	11/07/16	J		
59.					Buy (add'l)	12/01/16	K		
60.					Buy (add'l)	12/02/16	J		
61.					Redeemed (part)	12/07/16	J		
62. -Goldman Sachs Strategic Income Fund Class 1	B	Dividend			Sold	11/29/16	K		
63. -Fundamental Investors Class F-2	C	Dividend	L	T					
64. -American Developing World Growth and Income Fund F-2	A	Dividend	K	T					
65. -Vanguard Selected Value Fund	B	Dividend	L	T					
66. -Dodge & Cox Income Fund	B	Dividend	K	T	Buy (add'l)	04/22/16	K		
67. -Wells Fargo Absolute Return Fund	A	Dividend	L	T					
68. -Loomis Sayles Bond Fund Institutional Class	A	Dividend	L	T	Buy	10/14/16	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 11. The remaining balance is in the 401k component of that Plan. See note below regarding Part VII, Lines 12-13.

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

Part VII, Line 11--The Plan listed on Line 11 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 12-14. Consistent with the 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 32 and 68--as to these transactions, the fund held and listed at Line 32 was converted on the date shown to the fund held and listed at Line 68. There was no gain, and it was an even value fund conversion event.

Part VII, Lines 35 and 62--these assets were sold at a loss, so no "gain" is listed.

Part VII, Lines 43 to 61--these are transactions in/out of a money market fund, and there were no gains upon any listed partial redemptions.

Part VII--I have deleted the Citizens' Bank Checking Account reported a Line 5 of my 2015 Report as it is an account as to which I held an unexercised power of attorney and is therefore not a reportable account. That power of attorney had not been exercised as of 12/31/16, so it is not listed in Part I. It was exercised by me for the first time in 2017, and will therefore be listed in Part I of my Report for 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
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Washington, D.C. 20544