

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/13/2014
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 01/01/2013 to 12/31/2013
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.	Board Member	The Pittsburgh Foundation
2.	Executor	Estate #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.	2006	Buchanan Ingersoll & Rooney PC Cash Balance Retirement Plan

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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. George Mason Univ. School of Law	February 8 to 10, 2013	Fairfax, VA	Judge trial moot court proceedings	Lodging
2. New York (NY) Intellectual Property Law Association	March 22 to 24, 2013	New York, NY	Attend Annual Dinner	Transportation, meals, and lodging
3. Allegheny County (PA) Bar Association	June 21 to 22, 2013	Champion, PA	Attend and participate in Annual Bench-Bar Conference and CLE program	Meals and lodging
4. Academy of Trial Lawyers of Allegheny County (PA)	October 4 to 5, 2013	Farmington, PA	Attend and participate in Annual Academy Retreat and CLE program	Meals and lodging

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5.	University of Toledo School of Law	October 23 to 24, 2013	Toledo, OH	Judge appellate moot court proceedings	Meals
6.	American Bar Association (ABA) and Center for American & International Law	November 6 to 7, 2013	Houston, TX	Attend and participate in CLE program	Transportation, meals and lodging
7.	Practising Law Institute	November 14 to 15, 2013	New York, NY	Attend and participate in 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.	Bank of America	Revolving credit account	J
2.	Citibank	Revolving credit account	J
3.			
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	Sold (part)	11/01/13	J	B	
7. Pittsburgh Firefighters Federal Credit Union Cash Account	A	Interest	J	T					
8. HJ Heinz Common Stock	A	Dividend			Redeemed	06/14/13	J	A	
9. General Electric Common Stock	A	Dividend	J	T					
10. US Series EE Savings Bonds	B	Interest	K	T	Redeemed (part)	07/15/13	J		
11.					Redeemed (part)	08/05/13	J		
12. US Series I Savings Bonds	C	Interest	L	T	Redeemed (part)	07/15/13	J		
13.					Redeemed (part)	08/05/13	K		
14.					Redeemed (part)	12/17/13	K		
15. Buchanan Ingersoll & Rooney PC Pension Plan	D	Distribution			Distributed	09/09/13	O		
16. Buchanan Ingersoll & Rooney PC Profit Sharing Plan	D	Distribution	N	T	Distributed (part)	09/09/13	N		
17. Buchanan Ingersoll & Rooney PC Cash Balance Pension Plan	C	Interest			Distributed	12/19/13	M		

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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18. Estate #1	D	Distribution							
19. American Century Prime Money Market Fund	A	Int./Div.	J	T					
20. PNC Bank Money Market Account #1	B	Interest	J	T					
21. Pacific Life Univ. Life Insurance Policy-no cash value(Y)	A	Int./Div.			Expired	07/01/13			
22. TIAA-CREF Universal Life Insurance Policy (X)	A	Dividend	J	T	Buy	04/17/13	J		
23. Rollover IRA #1 (X)	E	Int./Div.	P1	T	Open	09/09/13	P1		
24. -New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2					Buy	09/18/13	K		
25. -Little Miami (OH) Jt. Fire/Rescue Dist. Taxable Bonds					Buy	09/24/13	K		
26. -Hildago County (TX) CTFS Bonds, Series B					Buy	09/25/13	K		
27. -American Mutual Fund, Class F-2					Buy	09/30/13	K		
28.					Buy (add'l)	11/21/13	K		
29. -FPA Crescent Portfolio fund					Buy	09/30/13	K		
30.					Buy (add'l)	10/18/13	K		
31.					Buy (add'l)	11/21/13	K		
32. -Intl. Growth and Income Fund, Class F-2					Buy	09/30/13	K		
33.					Buy (add'l)	10/18/13	K		
34.					Buy (add'l)	11/21/13	K		

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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	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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35. -John Hancock Regional Bank Class A Fund					Buy	09/30/13	K		
36.					Buy (add'l)	10/18/13	K		
37.					Buy (add'l)	11/21/13	K		
38. -Longleaf Partners Fund					Buy	09/30/13	K		
39.					Buy (add'l)	10/18/13	K		
40.					Buy (add'l)	11/21/13	K		
41. -Loomis Sayles Bond Fund Retail Class					Buy	09/30/13	K		
42.					Buy (add'l)	10/18/13	K		
43. -New World Fund Class F-2					Buy	09/30/13	K		
44.					Buy (add'l)	10/18/13	K		
45.					Buy (add'l)	11/21/13	K		
46. -PIMCO All Asset All Authority Fund					Buy	09/30/13	K		
47.					Buy (add'l)	10/18/13	K		
48.					Buy (add'l)	11/21/13	K		
49. -PIMCO Total Return Fund, Institutional Class					Buy	09/30/13	L		
50.					Sold (part)	11/13/13	K	A	
51.					Sold (part)	11/15/13	K	A	

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52.					Sold (part)	12/03/13	K	A	
53.					Sold (part)	12/03/13	J	A	
54.					Sold (part)	12/03/13	J	A	
55. -Primecap Odyssey Stock Fund					Buy	09/30/13	K		
56.					Buy (add'l)	10/18/13	K		
57.					Buy (add'l)	11/21/13	K		
58. -T Rowe Price Institutional Floating Rate Fund					Buy	09/30/13	K		
59. -T Rowe Price New Asia Fund					Buy	09/30/13	J		
60. -Tweedy Browne Global Value Fund					Buy	09/30/13	K		
61.					Buy (add'l)	10/18/13	K		
62.					Buy (add'l)	11/21/13	K		
63. -Vanguard Value Index Trust Fund					Buy	10/01/13	K		
64.					Buy (add'l)	10/18/13	K		
65.					Buy (add'l)	11/21/13	K		
66. -Massachusetts State Housing Fin. Agency Bonds, Taxable Series C					Buy	10/15/13	K		
67. -American Mutual Fund Class F-2					Buy	10/18/13	K		
68. -T Rowe Price European Stock Fund					Buy	10/18/13	K		

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69.					Buy (add'l)	11/21/13	K		
70. -T Rowe Price Institutional Floating Rate Fund					Buy	10/18/13	K		
71.					Buy (add'l)	11/21/13	K		
72. -T Rowe Price New Asia Fund					Buy	10/18/13	J		
73.					Buy (add'l)	11/21/13	J		
74. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B					Buy	10/23/13	K		
75. -Penn Hills (PA) Sch. Dist. Bonds Series B					Buy	10/25/13	K		
76. -Akron (OH) CTFS Partn. RFDG Baseball Stadium Proj. Taxable Bonds					Buy	11/15/13	K		
77. -Montgomery County (PA) Taxable Series C Bonds					Buy	12/03/13	K		
78. -Pershing Prime Reserves Money Market Fund					Buy	09/10/13	P1		
79.					Redeemed (part)	09/23/13	K	A	
80.					Redeemed (part)	09/27/13	K	A	
81.					Redeemed (part)	09/30/13	K	A	
82.					Redeemed (part)	10/01/13	N	A	
83.					Redeemed (part)	10/02/13	K	A	
84.					Redeemed (part)	10/18/13	K	A	
85.					Redeemed (part)	10/21/13	N	A	

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86.					Buy (add'l)	10/23/13	M		
87.					Redeemed (part)	10/28/13	K	A	
88.					Redeemed (part)	10/30/13	K	A	
89.					Buy (add'l)	11/15/13	K		
90.					Buy (add'l)	11/19/13	K		
91.					Redeemed (part)	11/22/13	N	A	
92.					Redeemed (part)	11/27/13	K	A	
93.					Buy (add'l)	12/03/13	J		
94.					Redeemed (part)	12/06/13	J	A	
95.									
96.									
97.									
98.									
99.									
100.									

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

Part I, Line 1. --I resigned from this position in November, 2013.

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 plans while engaged in the practice of law. They are reported in Part VII, Lines 15-17 inclusive. The entire balance in the Pension Plan was rolled into IRA #1 in 2013, and therefore will not be referenced in future reports. The remaining balance in the Profit Sharing Plan is in the 401k component of that Plan only. See note below regarding Part VII, Line 16..

Part II, Line 3--The entire balance in this retirement plan was rolled into IRA #1 in 2013, and this Agreement will therefore not be referenced in future reports.

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

Part VII--Lines 15 and 17 in whole, and Line 16 in part. The amounts shown were rolled into Rollover IRA #1 as of the dates shown. The Plan listed on Line 16 remains open, as it was rolled over in part. It is a 401(k) Plan. The amounts shown on Lines 15 and 17 were rolled over in their entirety.

Part VII, Line 16- -These retirement funds are administered and managed by third-parties. I retain no control over the investments in them. All assets in, and contributions to, them relate solely to services performed prior to entering judicial service.

Part VII, Line 18- -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. The amounts listed as distributions represent payments received by the beneficiary of the Estate, a family member other than me and not a spouse or dependent child, in settlement of certain of those claims.

Part VII, Line 21- -This insurance policy was provided as part of a group insurance program while I was in the private practice of law. Upon my retirement and withdrawal from the law firm in November 2011, I became responsible for this policy, and began paying the premiums directly as of May 1, 2012, the date the first post-employment premium payment was due. It had no cash surrender value at any point. It had imputed interest crediting in 2013 in the amount category set forth at line 21, column B(1), but this did not reduce the premium amount or create any cash surrender value. There was no funding for investment purposes by the payment of additional premium and this policy did not involve any underlying asset or investment account. All premium amounts paid were for insurance only. This policy was permitted to lapse (expire) by non-payment of the annual premium due in July, 2013, and it will not be reported in subsequent reports. There was no gain from that policy or that expiration.

Part VII, Line 22--This insurance policy was purchased new by me as of the date shown in 2013.

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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