AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Hornak, Mark R.	U.S. Dist. Ct., W.D. Pa.	07/11/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
District Judge, Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

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

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
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.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	SoFi	Refinance loan	J
2.	Barclay's Bank	Revolving Credit	J
3.	Bank of America	Revolving Credit	J
4.			
5.			

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)	
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					
9.	Buchanan Ingersoll & Rooney PC Profit Sharing Plan (H)									
10.	-Northwestern Mutual Life Select 100 Whole Life Policy	C	Dividend	M	T					
11.	-T. Rowe Price Stable Value Fund	A	Interest	J	T					
12.	Estate #1		None							
13.	PNC Bank Money Market Account #1	A	Interest	J	T					
14.	TIAA-CREF Universal Life Insurance Policy	A	Dividend	J	T					
15.	Rollover IRA #1 (H)									
16.	-New Mexico Fin Authority Revolving FD Taxable Bonds, Series B-2					Sold	06/01/21	K	A	
17.	-American Mutual Fund, Class F-2	C	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
18. -FPA Crescent Portfolio Fund					Sold	02/24/21	L	D	
19. -New World Fund Class F-2	A	Dividend	M	T					
20. -Primecap Odyssey Stock Fund	A	Dividend	L	T					
21. -Massachussetts State Housing Fin. Agency Bonds, Taxable Series C					Sold	06/01/21	J	A	
22. -Will County (IL) Sch. Dist. #122 Taxable Bonds Series B	A	Interest	K	T					
23. -Montgomery County (PA) Taxable Series C Bonds					Sold	04/01/21	K		
24. -Dodge & Cox Income Fund	B	Dividend	K	T	Buy (add'l)	03/09/21	L		
25.					Buy (add'l)	04/06/21	K		
26. -Loomis Sayles Bond Fund Institutional Class N	C	Dividend	L	T	Buy (add'l)	02/21/21	J		
27.					Sold (part)	05/06/21	L		
28. -PIMCO Short Asset Investment Fund Institutional Class	A	Dividend	L	T	Buy (add'l)	02/25/21	J		
29. -Vanguard Extended Market Index Fund Admiral Shares	A	Dividend	L	T					
30. -Federated Hermes Prime Cash Obligations Fund Service Shares	A	Interest	L	T	Redeemed (part)	01/19/21	J		
31.					Redeemed (part)	01/25/21	J		
32.					Redeemed (part)	01/29/21	J		
33.					Redeemed (part)	02/08/21	M		
34.					Redeemed (part)	02/18/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
35.					Buy (add'l)	02/26/21	L		
36.					Redeemed (part)	03/01/21	J		
37.					Buy (add'l)	03/05/21	L		
38.					Redeemed (part)	03/09/21	L		
39.					Redeemed (part)	03/18/21	J		
40.					Redeemed (part)	03/29/21	J		
41.					Buy (add'l)	04/05/21	K		
42.					Redeemed (part)	04/06/21	K		
43.					Redeemed (part)	04/19/21	J		
44.					Redeemed (part)	04/26/21	J		
45.					Redeemed (part)	04/29/21	J		
46.					Redeemed (part)	05/18/21	J		
47.					Redeemed (part)	06/01/21	J		
48.					Redeemed (part)	06/01/21	J		
49.					Buy (add'l)	06/02/21	K		
50.					Redeemed (part)	06/18/21	J		
51.					Redeemed (part)	06/29/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
52.					Redeemed (part)	07/19/21	J		
53.					Redeemed (part)	07/25/21	J		
54.					Redeemed (part)	07/29/21	J		
55.					Redeemed (part)	08/18/21	J		
56.					Redeemed (part)	08/26/21	J		
57.					Redeemed (part)	08/30/21	J		
58.					Redeemed (part)	09/20/21	J		
59.					Redeemed (part)	09/29/21	J		
60.					Redeemed (part)	10/18/21	J		
61.					Redeemed (part)	10/25/21	J		
62.					Redeemed (part)	10/29/21	J		
63.					Redeemed (part)	11/18/21	J		
64.					Redeemed (part)	11/29/21	J		
65.					Buy (add'l)	12/13/21	J		
66.					Redeemed (part)	12/20/21	J		
67.					Buy (add'l)	12/20/21	J		
68.					Buy (add'l)	12/21/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
69.					Buy (add'l)	12/23/21	J		
70.					Redeemed (part)	12/28/21	K		
71.					Redeemed (part)	12/29/21	J		
72. -T. Rowe Price Overseas Stock Fund Class I	B	Dividend	L	T					
73. -T. Rowe Price Balanced Fund Class I	B	Dividend	L	T					
74. -University of Pittsburgh Pa Higher Education Taxable Refinance Bonds	A	Interest	K	T					
75. -The Growth Fund of America Class F-2	A	Dividend	M	T					
76. -Vanguard Small-Cap Index Fund Admiral Shares	A	Dividend	K	T					
77. -MFS International Growth Fund Class I	B	Dividend	L	T					
78. -Federated Hermes Strategic Income Fund Class IS	C	Interest	L	T	Buy	05/06/21	L		
79. -Cash (residual within IRA #1, Pershing LLC is the custodian)		None	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

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 [redacted], 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 9. The remaining balance is in the 401k component of that Plan. See note below regarding Part VII, Lines 10-11.

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

Part VII, Line 9--The Plan listed on Line 9 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 10-11. Consistent with the instructions, I am listing the assets held in this Plan, which is reported at Line 9.

Part VII, Line 12- -Estate #1 is that of a deceased [redacted], and has no assets, other than its status as the plaintiff/claimant in civil/claims proceedings related to the decedent's death. It had no income in 2021 and no defined value at any point in 2021, as its value is entirely contingent on potential future litigation outcomes.

Part VII, Lines 23 and 27--these assets were sold at a loss, so no "gain" is listed. This is the case for any "sold" notation that does not have a corresponding "gain" listed.

Part VII, Lines 30 to 71--these are transactions in/out of a money market fund, and there were no gains upon any listed complete or partial redemptions.

Part VII, Line 79--This reflects residual cash in the Rollover IRA #1 as of December 31, 2021. 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, 2021.

Name of Person Reporting	Date of Report
Hornak, Mark R.	07/11/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544