AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT
FINAL FILING

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
Hornby, D.Brock	District of Maine	03/09/2022
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 (senior status)	☐ Nomination Date ☐ Initial ☐ Annual ☑ Final **5b.** ☐ Amended Report	01/01/2021 **to** 02/28/2022
7. Chambers or Office Address		
United States District Court 156 Federal Street Portland, ME 04101		

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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Hornby, D.Brock	03/09/2022

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.	2021	self-employed in management consulting, rental property, and jewelry-making
2.	through	
3.	2/28/22	
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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Hornby, D.Brock	03/09/2022

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Omnivore Partners Offshore Fund 2	Remaining obligation for purchase of partnership interest	M
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Hornby, D.Brock	03/09/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
1.	Bank of America accounts	A	Interest	M	T					
2.	Synchrony Bank	A	Interest			Closed	04/15/21	M		
3.	Maine State Turnpike Auth'y bonds	C	Interest	L	T					
4.	Maine Health & Higher Edu. Facs. Auth'y bonds	D	Interest	M	T	Redeemed (part)	07/01/21	J		
5.						Redeemed (part)	01/03/22	K		
6.						Buy (add'l)	01/20/22	K		
7.	Bangor ME bonds	B	Interest	K	T					
8.	Commonwealth of Puerto Rico bonds	C	Interest	L	T					
9.	Univ. of Maine System bonds	C	Interest	L	T					
10.	Puerto Rico Elec. Power Auth'y bonds	A	Interest	K	T					
11.	Lewiston, ME public improvement bond	A	Interest			Sold	03/23/21	K	A	
12.	ME Gov't Facilities Auth'y bond	A	Interest	K	T					
13.	Virgin Islands Public Fin. Auth'y bond	B	Interest	K	T					
14.	South Portland, ME bond	A	Interest	K	T					
15.	Falmouth, ME bond	A	Interest			Sold	11/15/21	K		
16.	Washington State Health Care bond	B	Interest	K	T					
17.	MA Gen'l Obligation bond	B	Interest	K	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	
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Hornby, D.Brock	03/09/2022

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

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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)	(5) Identity of buyer/seller (if private transaction)
18. Nuveen All American Municipal bond	D	Interest	M	T					
19. Invesco Oppenheimer Rochester High Yield Municipal bond	D	Interest	M	T	Buy (add'l)	07/19/21	K		
20. RBC Wealth Mgt money mkt acct	A	Interest	J	T					
21. Chicago O'Hare Airport bond	B	Interest	K	T					
22. PA State Tpke bond	A	Interest	K	T					
23. Spartanburg SC Hlth Soc bond	B	Interest	K	T					
24. MD Health & Higher Edu. Bond	A	Interest	K	T					
25. SD Health & Edu. Fac. Auth'y Bond	A	Interest	J	T					
26. Hewlett Packard Co. Bond	C	Interest	L	T					
27. Ohio State Rev. Bond	A	Interest	J	T					
28. W Va. State Hosp. Bond	A	Interest	K	T					
29. Wash. St. Mtr. Veh. Fuel Revenue Bond	B	Interest	L	T	Buy	02/02/21	K		
30.					Buy (add'l)	04/28/21	K		
31. TIAA Brokerage Acct									
32. -T. Rowe Price Mutual Int'l Stock Funds	B	Dividend	L	T					
33. -Cash Management Account (now TIAA Bank)	A	Interest	J	T					
34. -ADR Diageo PLC new	A	Dividend	K	T					

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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

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35. -Vanguard Group Mutual Funds									
36. ---Balanced Index Fund	A	Dividend	K	T					
37. ---Value Index Fund	B	Dividend	M	T					
38. ---Inflation Protected Security Inv	A	Dividend	K	T					
39. ---Strategic Equity Fund	A	Dividend	K	T					
40. ---Developed Mkts Index Fund	A	Dividend	K	T					
41. -Matthews Asian Funds									
42. ---India	B	Dividend	L	T					
43. -com stk Illinois Tool Works	B	Dividend	L	T					
44. -Vanguard Standard & Poor 500 Index Fund	B	Dividend	M	T					
45. -TRP Gov't Money Fund		None	K	T					
46. Vanguard Account									
47. -Vanguard Money Mkt Settlement Fund	B	Dividend	K	T					
48. -Vanguard Global Capital Cycles Fund	A	Dividend	K	T					
49. -Vanguard Sm Cap Growth Fund	A	Dividend	M	T	Buy (add'l)	05/11/21	J		
50. -Vanguard Hi Yld Tax Exempt Fund	E	Dividend	O	T					
51. -Vanguard Total Stock Mkt Index Fund	C	Dividend	N	T					

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52. -Vanguard Health Care	F	Dividend	P1	T					
53. -Vanguard Global Wellington	B	Dividend	M	T					
54. -Vanguard Prime Money Mkt	B	Dividend	M	T					
55. -Vanguard Balanced Index Fund	D	Dividend	O	T					
56. -Vanguard Emerging Mkts Index Fund	D	Dividend	N	T					
57. -Vanguard 500 Index Fund	E	Dividend	P1	T	Sold (part)	08/31/21	L	F	
58. -Vanguard Short Term Treasury Index Fund	B	Dividend	M	T					
59. -Vanguard Small Cap Value Fund	D	Dividend	O	T					
60. -Vanguard Tax Managed Cap. Apprec. Fund	B	Dividend	M	T					
61. -Vanguard Total Int'l Stock Index Fund	D	Dividend	N	T					
62. -Vanguard Int'l Value Fund	A	Dividend	K	T					
63. -Vanguard Value Index Fund	E	Dividend	P1	T					
64. -Vanguard Intermediate Term Tax Exempt Fund	D	Dividend	N	T					
65. -Vanguard FTSE Emerging ETF Fund	B	Dividend	L	T					
66. -com stk Myriad Genetics		None	J	T					
67. -com stk T-Mobile Corp		None	K	T					
68. -com stk Albemarle Corp.	B	Dividend	M	T					

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69. -com stk Applied Materials Inc.	A	Dividend	L	T					
70. -com stk Helmerich & Payne Inc.	B	Dividend			Sold	12/21/21	K		
71. -ETF Ishares Australia	B	Dividend	L	T					
72. -com stk Pembina Pipeline Corp.	A	Dividend	J	T					
73. -com stk Pulte Group Inc.	A	Dividend	K	T					
74. -San Juan Basin Royalty Trust	A	Dividend	K	T					
75. -com stk Solgold PLC		None	J	T					
76. -ltd ptsp Suncoke Energy Partners LP	A	Dividend			Sold	12/21/21	K		
77. -com stk Tinka Resources Ltd		None			Sold	12/21/21	J		
78. -com stk TJX Cos Inc. New	A	Dividend	K	T					
79. -com stk Yamana Gold	A	Dividend	J	T	Buy (add'l)	05/11/21	J		
80. -ST Microelectronics NV	A	Dividend	M	T					
81. -Vanguard LTD Term Tax Exempt	A	Dividend	L	T					
82. -Vanguard Mun Mkt	A	Dividend	M	T					
83. -Pinterest Inc.		None	K	T					
84. -Micron Technology Inc.	A	Dividend	K	T	Sold (part)	04/11/21	J		
85.					Buy (add'l)	05/11/21	J		

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86. -Uber Technologies Inc.		None	K	T					
87. -com stk Myovant Sciences Ltd		None	K	T					
88. -I Shares Latin America 40 ETF		None	L	T					
89. -I Shares Global Clean Energy ETF		None	M	T					
90. -Roche Holding Ltd ADR		None	K	T	Buy	02/10/21	J		
91.					Buy (add'l)	02/23/21	J		
92.					Buy (add'l)	05/11/21	J		
93. -Facedrive Inc.		None	J	T	Buy	05/19/21	J		
94. -Fubo TV Inc.		None	J	T	Buy	06/23/21	K		
95.					Buy (add'l)	07/01/21	J		
96. -Velodyne Lidar Inc.		None	K	T	Buy	06/04/21	K		
97.					Buy (add'l)	07/01/21	J		
98.					Buy (add'l)	07/06/21	K		
99.					Buy (add'l)	08/24/21	J		
100. -Prometheus Biosciences Inc.		None	K	T	Buy	05/11/21	J		
101. -Zynga Inc.		None	K	T	Buy	05/11/21	J		
102.					Buy (add'l)	06/04/21	J		

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103. -Cloud MD Software		None	J	T	Buy	06/04/21	J		
104.					Buy (add'l)	06/07/21	J		
105. -Super League Gaming Inc.		None	J	T	Buy	06/04/21	J		
106. Ser. A. pref'd stk Boundless Bio fka Pretzel Theraputics Inc.		None	N	W	Buy (add'l)	04/15/21	M		Boundless Bio
107. Ser. A pref'd stk Erasca Inc. (now at TIAA Brokerage)		None	P1	T					
108. P'ship Int. Omnivore Partners Offshore Fund 2		None	M	W	Buy (add'l)	04/16/21	J		Omnivore Partners Offshore
109.					Buy (add'l)	07/16/21	K		Funds 2 (Lines 107-109)
110.					Buy (add'l)	08/12/21	K		
111.					Buy (add'l)	01/10/22	J		
112. Peace & Plenty Exuma LLC		None	M	W	Buy	09/09/21	M		Peace & Plenty Exuma LLC
113. TIAA IRA Brokerage Acct #1									
114. -Cash Management Acct (now TIAA Bank)	A	Interest	J	T					
115. -com stk Intel Corp.	B	Dividend	K	T					
116. -com stk Starbucks Corp.	B	Dividend	M	T					
117. -com stk Popular, Inc.	A	Dividend	J	T					
118. -Washington REIT	A	Dividend	K	T					
119. -ETF I Shares MSCI Japan	A	Dividend	J	T					

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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)	(5) Identity of buyer/seller (if private transaction)
120. -T. Rowe Price Emerging Europe Fund	A	Dividend	J	T					
121. -com stk Amazon.com		None	N	T					
122. -Wisdom Tree Large Cap Div Fund	C	Dividend	M	T					
123. -Meta Platforms (formerly Facebook Inc.)		None	M	T	Sold (part)	07/27/21	K	E	
124. -Vanguard S&P Index Fund	A	Dividend	L	T					
125. -Vanguard Europe Index Fund	B	Dividend	K	T					
126. -com stk Myovant Sciences Ltd		None			Sold	09/17/21	L	D	
127. -TRP Gov't Money Fund	A	Dividend			Sold	03/02/21	J		
128. TIAA IRA Brokerage Acct #2									
129. -Cash Management Acct (now TIAA Bank)	A	Interest	J	T					
130. -com stk Invesco QQQ Trust	A	Dividend	L	T					
131. -Vanguard REIT Vipers	A	Dividend	K	T					
132. -com stk Coca Cola	A	Dividend	J	T					
133. -Vanguard Strategic Equity Fund	C	Dividend	K	T					
134. -Value Line Fund Inc.	D	Dividend	M	T					
135. -Fidelity Nordic Countries Fund	C	Dividend	K	T					
136. -I Shares MSCI Japan	A	Dividend	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
Hornby, D.Brock	03/09/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
137. -T. Rowe Price Africa & Middle East Fund	A	Dividend	K	T					
138. -Vanguard FTSE All-World ex-US ETF	B	Dividend	L	T					
139. -Janus Triton Fund	D	Dividend	K	T					
140. -Parnassus Core Equity Fund fka Parnassus Equity Income Fund	A	Dividend	L	T					
141. -Vanguard Consumer Staples Fund	A	Dividend	K	T					
142. -com stk Myovant Sciences Ltd		None	K	T					
143. -TRP Gov't Money Fund	A	Dividend	J	T					
144. Pension Plan Acct. TIAA #1 (see Part VIII. Add'l Information)									
145. -TIAA Traditional	B	Interest	K	T	Distributed (part)	10/04/21	J		
146. -CREF Equity Index R3		None	M	T	Distributed (part)	10/04/21	J		
147. -CREF Global Equities R3		None	M	T	Distributed (part)	10/04/21	J		
148. -Vanguard Total Stock Mkt Index	B	Dividend	M	T	Distributed (part)	10/04/21	J		
149. -TIAA Real Estate		None	L	T	Distributed (part)	10/04/21	J		
150. Pension Plan Acct. TIAA #2 (see Part VIII. Add'l Information)									
151. -TIAA Traditional	C	Interest	M	T	Distributed (part)	12/28/21	J		
152. -TIAA Real Estate		None	N	T	Buy (add'l)	12/28/21	J		
153. -CREF Social Choice		None	M	T	Distributed (part)	12/28/21	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
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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	
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Name of Person Reporting	Date of Report
Hornby, D.Brock	03/09/2022

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

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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154. -CREF INF-Linked Bond		None	M	T	Distributed (part)	12/28/21	J		
155. -Vanguard Total Bond Mkt Index	C	Dividend	M	T	Distributed (part)	12/28/21	J		
156. -American EuroPac Growth	E	Dividend	N	T	Distributed (part)	12/28/21	J		
157. -Vanguard Extended Market Index	C	Dividend	N	T	Distributed (part)	12/28/21	J		
158. -American Century Emerging Mkt (transferred from DFA Emerging Mkt		Dividend	M	T	Distributed (part)	12/28/21	J		
159. by plan sponsor on 3/4/21)									
160. -Vanguard Total Int Stk Index	E	Dividend	N	T	Distributed (part)	12/28/21	K		
161. -Victory Sycamore	E	Dividend	M	T	Distributed (part)	12/28/21	J		
162. -Vanguard Inst'l Index Fund Inst'l Plus Shares (VIIIX)	F	Dividend	P1	T	Distributed (part)	12/28/21	K		
163. -JP Morgan Equity Income Fund (transferred from John Hancock		None	M	T	Distributed (part)	12/28/21	J		
164. Discounted Value by plan sponsor on 3/4/21)									
165. -MFS Int'l Intrinsic Value	E	Dividend	M	T	Distributed (part)	12/28/21	J		
166. -Virrtus Cdex Midcap Value	F	Dividend	N	T	Distributed (part)	12/28/21	J		
167. 1/2 unit ltd. partnership int. in Falls Development Assoc., ltd real		None	K	R					
168. estate partnership purchased 12/30/85; total of $16,489.50 pd in									
169. installments completed 2/10/90									
170. IRA Brokerage Acct RBC Wealth Mgt									

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
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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.)*

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171. -RBC deposits	A	Interest	K	T					
172. -Franklin Inc. Funds	B	Dividend	K	T					
173. -Fundamental Invs Inc.	B	Dividend	K	T					
174. -Thornburg Global Opportunities Fund	C	Dividend	K	T					
175. -Morgan Stanley Institutional Fund	B	Dividend	K	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
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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts

Lines 144 - 166: The "Distributions" are "required minimum distributions" from two 403(b) retirement plans. The gain is not reported on the statement provided, and I do not have the ability to calculate the gain.

Lines 146,147,149,152,153,154,158,163, Column B.(1): The income is not reported on the statement provided.

Name of Person Reporting	Date of Report
Hornby, D.Brock	03/09/2022

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/ D.Brock Hornby

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