

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Hummel, Christian F.	2. Court or Organization United States District Court N.Y. Northern District	3. Date of Report 11/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States District Court Northern District of New York 445 Broadway Albany, NY 12207		
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. 2015 New York State Retirement System, currently receiving pension
2. _____
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. 2015	State University of New York Wages	\$5,271.60
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. 2015	New York State Unified Court System 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.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

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. First Niagara Bank	A	Interest	L	T					
2. Chase Bank	A	Interest	K	T					
3. S.E.F.C.U. Account	A	Interest	J	T					
4. Capital One Bank (IRA)	A	Interest			Sold	01/06/15	K	A	
5. Capital One Bank (Savings)	A	Interest	L	T	Open	01/22/15	L		
6. Altria Group, Inc. Common Stock	A	Dividend	J	T					
7. db-X 2020 Target Date E.T.F. Deutsche Bank Symbol TDH (IRA)	A	Int./Div.			Sold	01/06/15	J	A	
8. The Hartford Variable Annuity (IRA) (Header)									
9. - Hartford Total Return Bond Fund	A	Int./Div.	J	T					
10. - Hartford Hi Yield	A	Int./Div.	J	T					
11. - Hartford US Gov Securities	A	Int./Div.	J	T					
12. - Hartford Int Opp	A	Int./Div.	J	T					
13. - Hartford Balanced HLS	B	Int./Div.	J	T					
14. - Hartford Cap App	B	Int./Div.	J	T					
15. - Hartford Mid Cap	A	Int./Div.	J	T					
16. - Hartford Small Cap	A	Int./Div.	J	T					
17. - Hartford Stock	A	Int./Div.	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. Glens Falls National Bank - Carter Conboy et al 401(K) (Header)									
19. - Vanguard Wellington Fund	C	Int./Div.	L	T					
20. Chase Bank IRA Account	A	Interest	K	T					
21. I.R.A. Account #1 (Header)									
22. - SunAmerica Dynamic Allocation	B	Int./Div.	L	T					
23. - SunAmerica Dynamic Strategy	B	Int./Div.	L	T					
24. - Secure Value Account	B	Int./Div.	K	T					
25. Brokerage Account #1 (Header)									
26. - SEI Large Cap	A	Int./Div.	J	T					
27. - SEI Sm Cap Growth	A	Int./Div.	J	T					
28. - SEI Sm Cap Value	A	Int./Div.	J	T					
29. - SEI Intl Equity	A	Int./Div.	J	T					
30. - SEI Emerging Markets	A	Int./Div.	J	T					
31. - SEI Core Fixed Income	A	Int./Div.	K	T					
32. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T					
33. - SEI Intl Fixed Income	A	Int./Div.	J	T					
34. - SEI Emerging Markets Debt	A	Int./Div.	J	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - SEI Prime Obligations	A	Int./Div.	J	T					
36. Legg Mason Global Asset (Roth IRA) (Header)									
37. - Legg Mason Lifestyle / Moderate Allocation	A	Int./Div.	J	T					
38. IRA Account #2 (SEI Funds) (Header)									
39. - SEI Large Cap	A	Int./Div.	K	T					
40. - SEI Small Cap	A	Int./Div.	J	T					
41. - SEI Intl Equity	A	Int./Div.	K	T					
42. - SEI Emerging Markets Equity	A	Int./Div.	J	T					
43. - SEI Hi Yield Bond	A	Int./Div.	J	T					
44. - SEI Emerging Markets Debt	A	Int./Div.	J	T					
45. - SEI Multi-Asset	A	Int./Div.	K	T					
46. - SEI Prime Obligation	A	Int./Div.	J	T					
47. Jackson National Life Annuity (IRA) (Header)									
48. - GS Core Plus Bond	B	Int./Div.	K	T					
49. - Invesco Intl Growth	B	Int./Div.			Sold	12/15/15	K	B	
50. - MC Oil and Gas	A	Int./Div.			Sold	12/15/15	J	A	
51. - S&P 4	A	Int./Div.			Sold	12/15/15	J	A	

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52. - India China Fund	A	Int./Div.			Sold	12/15/15	J	A	
53. - T Rowe Price Mid Cap	A	Int./Div.	K	T	Buy (add'l)	12/15/15	K		
54. - MC Healthcare Sector	A	Int./Div.	J	T	Buy (add'l)	12/15/15	J		
55. - PPM American Hi Yield	B	Int./Div.			Sold	12/15/15	K	B	
56. - S&P Total Yield	B	Int./Div.			Sold	12/15/15	K	B	
57. - MC S&P Mid 60	B	Int./Div.			Sold	12/15/15	K	C	
58. - MC Tech Sector	A	Int./Div.	J	T	Buy (add'l)	12/15/15	J		
59. - S&P Dividend Inc & Growth	A	Int./Div.	K	T	Buy (add'l)	12/15/15	K		
60. - American BI Inc. & Growth	A	Int./Div.			Sold	12/15/15	J	A	
61. - S&P Intrinsic Value	A	Int./Div.			Sold	12/15/15	J	A	
62. - MC S&P 500	A	Int./Div.			Sold	12/15/15	J	A	
63. - Brookfield Global Infr MLP	A	Int./Div.			Sold	12/15/15	J	A	
64. - MC Nasdaq 25	B	Int./Div.			Sold	12/15/15	K	C	
65. - S&P Comp Adv	A	Int./Div.	K	T	Buy	12/15/15	K		
66. - FR Temp Intl Sm Cap	A	Int./Div.	J	T	Buy	12/15/15	J		
67. - MC Consumer Bd Sector	A	Int./Div.	J	T	Buy	12/15/15	J		
68. - T Rowe Price Est Growth	A	Int./Div.	K	T	Buy	12/15/15	K		

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69. - Oppenheimer Global Growth	A	Int./Div.	K	T	Buy	12/15/15	K		
70. - MC Pacific Rim 30	A	Int./Div.	J	T	Buy	12/15/15	J		
71. - PPM America Total Return	A	Int./Div.	K	T	Buy	12/15/15	K		
72. - PPM America Sm Cap Value	A	Int./Div.	K	T	Buy	12/15/15	K		
73. - PPM America FI Rate Income	A	Int./Div.	J	T	Buy	12/15/15	J		
74. - MC European 30	A	Int./Div.	J	T	Buy	12/15/15	J		
75. New York State Deferred Compensation Plan (Header)									
76. - T Rowe Price Retire 2020	B	Int./Div.	L	T					
77. - T Rowe Price Retire 2030	B	Int./Div.	L	T					
78. - Intl Equity Fund Active	B	Int./Div.	L	T					
79. - Janus Fund T Symbol JANSX	B	Int./Div.	L	T					
80. - Vanguard Wellington Fund	B	Int./Div.	L	T					
81. - Stable Income Fund	B	Int./Div.	L	T					
82.									
83.									

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

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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/ **Christian F. Hummel**

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