

FINANCIAL DISCLOSURE REPORT INITIAL 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) Hummel, Christian F.	2. Court or Organization United States District Court N.Y. Northern District	3. Date of Report 12/28/2012
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 01/01/2011 to 01/01/2013
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 <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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.		
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. 2012	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. 2012	New York State Unified Court System	\$101,196.00
2. 2011	New York State Unified Court System	\$136,680.00
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. 2012	New York State Unified Court System
2. 2011	New York State Unified Court System
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. Exempt				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.	Exempt		
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.	Pioneer Savings Bank	Mortgage	K
2.	Wells Fargo Bank	Mortgage	M
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 Account	A	Interest	K	T					
2. Key Bank Account	A	Interest	K	T					
3. S.E.F.C.U. Account	A	Interest	J	T					
4. I.N.G. Savings Account	A	Interest	K	T					
5. Altria Group, Inc. Common Stock	A	Dividend	J	T					
6. Target Date E.T.F. (IRA)	A	Int./Div.	J	T					
7. The Hartford Variable Annuity (IRA)	E	Int./Div.	M	T					
8. The Hartford Variable Annuity (IRA)	D	Int./Div.	K	T					
9. Glens Falls National Bank - Carter, Conboy, et al 401(K)	C	Int./Div.	K	T					
10. New York State Deferred Compensation Plan	E	Int./Div.	N	T					
11. New York State Deferred Compensation Plan	E	Int./Div.	N	T					
12. LRA. Account #1	E	Int./Div.	M	T					
13. - Hartford Advisors HLS									
14. - Hartford Capital Apprec.									
15. - Hartford High Yield									
16. - Hartford International Opp.									
17. - Hartford Mid-Cap Value									

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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				
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18. - Hartford Small-Cap Growth									
19. - Hartford Stock HLS									
20. - Hartford Total Return Bond									
21. - Hartford US Gov't Securities									
22. - Hartford Value HLS									
23. I.R.A. Account #2	D	Int./Div.	K	T					
24. - Hartford Advisors HLS									
25. - Hartford Capital Apprec.									
26. - Hartford High Yield									
27. - Hartford Int'l Opport.									
28. - Hartford Mid-Cap Value									
29. - Hartford Small-Cap Growth									
30. - Hartford Stock HLS									
31. - Hartford Total Return Bond									
32. - Hartford US Gov't Securities									
33. Brokerage Account #1	D	Int./Div.	L	T					
34. - SEI Large Cap Value									

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35. - SEI Core Fund Income									
36. - SEI High Yield Bond									
37. - SEI Small Cap Value									
38. - SEI Large Cap Growth									
39. - SEI Small Cap Growth									
40. - SEI Int'l Emerg Mkts Debt									
41. - SEI Int'l Emerg Mkts Fund									
42. - SEI Int'l Equity Fund									
43. - SEI Int'l Fixed Income									
44. - SEI Liquid Asset Prime									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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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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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
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