

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 07/09/2018
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 01/01/2017 to 12/31/2017
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.)

<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. 2017	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. 2017	State University of New York Wages	\$5,296.40
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. 2017	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.)*

<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.		
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 / Key Bank	A	Interest	L	T					
2. Key Bank	A	Interest	K	T					
3. S.E.F.C.U. Account	A	Interest	J	T					
4. Capital One Bank (Savings)	A	Interest	K	T					
5. Altria Group, Inc. Common Stock	A	Dividend	J	T					
6. Chase Bank IRA Account	A	Interest			Closed	01/05/17	K	B	
7. Capital One Bank IRA Account (Header)									
8. - T Rowe Price 2025 Retmt Fund	A	Int./Div.	K	T	Buy	01/05/17	K		
9. - Cash Account	A	Interest	K	T	Buy	01/05/17	K		
10. I.R.A. Account #1 (Header)									
11. - SunAmerica Dynamic Allocation	B	Int./Div.	L	T					
12. - SunAmerica Dynamic Strategy	B	Int./Div.	L	T					
13. - Secure Value Account	B	Int./Div.	K	T					
14. Brokerage Account #1 (Header)									
15. - SEI Large Cap Growth	A	Int./Div.	J	T					
16. - SEI Large Cap Value	A	Int./Div.	J	T					
17. - SEI Sm Cap Growth	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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18. - SEI Sm Cap Value	A	Int./Div.	J	T					
19. - SEI Intl Equity	A	Int./Div.	J	T					
20. - SEI Emerging Markets	A	Int./Div.	J	T					
21. - SEI Core Fixed Income	A	Int./Div.	K	T					
22. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T					
23. - SEI Intl Fixed Income	A	Int./Div.	J	T					
24. - SEI Emerging Markets Debt	A	Int./Div.	J	T					
25. Legg Mason Global Asset (Roth IRA) (Header)									
26. - Legg Mason Lifestyle / Moderate Allocation	A	Int./Div.	J	T					
27. IRA Account #2 (SEI Funds) (Header)									
28. - SEI Large Cap	A	Int./Div.	K	T					
29. - SEI Small Cap	A	Int./Div.	J	T					
30. - SEI Intl Equity	A	Int./Div.	K	T					
31. - SEI Emerging Markets Equity	A	Int./Div.	J	T					
32. - SEI US Fixed Income Fund	A	Int./Div.	J	T					
33. - SEI Hi Yield Bond	A	Int./Div.	J	T					
34. - SEI Emerging Markets Debt	A	Int./Div.	J	T					

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35. - SEI Dynamic Asset	A	Int./Div.	J	T					
36. - SEI Multi-Asset	A	Int./Div.	K	T					
37. - SEI Prime Obligation	A	Int./Div.	J	T					
38. Jackson National Life Annuity (IRA) (Header)									
39. - GS Core Plus Bond	B	Int./Div.	K	T					
40. - T Rowe Price Mid Cap	A	Int./Div.	K	T					
41. - MC Healthcare Sector	A	Int./Div.	J	T					
42. - MC Tech Sector	A	Int./Div.	J	T					
43. - S&P Dividend Inc & Growth	A	Int./Div.	K	T					
44. - S&P Comp Adv	A	Int./Div.	K	T					
45. - FR Temp Intl Sm Cap	A	Int./Div.	J	T					
46. - MC Consumer Bd Sector	A	Int./Div.	J	T					
47. - T Rowe Price Est Growth	A	Int./Div.	K	T					
48. - Oppenheimer Global Growth	A	Int./Div.	K	T					
49. - MC Pacific Rim 30	A	Int./Div.	J	T					
50. - PPM America Total Return	A	Int./Div.	K	T					
51. - PPM America Sm Cap Value	A	Int./Div.	K	T					

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52. - PPM America FI Rate Income	A	Int./Div.	J	T					
53. - MC European 30	A	Int./Div.	J	T					
54. - PPM America Strategic Income	A	Int./Div.	K	T					
55. - America Hi Yield Bond	A	Int./Div.	J	T					
56. - Nasdaq 100	B	Int./Div.	K	T					
57. - 400 MC Index	A	Int./Div.	K	T					
58. - S&P SMid 60	A	Int./Div.	J	T					
59. - DFA US Core Equity	A	Int./Div.	J	T					
60. - MC Financial Sector	A	Int./Div.	J	T					
61. - MC Oil & Gas Sector	A	Int./Div.	J	T					
62. - MC Int'l Index	B	Int./Div.	K	T					
63. New York State Deferred Compensation Plan (Header)									
64. - T Rowe Price Retire 2020	D	Int./Div.			Sold	06/26/17	M	E	
65. - T Rowe Price Retire 2030	D	Int./Div.			Sold	06/26/17	L	D	
66. - Intl Equity Fund Active	D	Int./Div.			Sold	06/26/17	L	D	
67. - Janus Fund T Symbol JANSX	D	Int./Div.			Sold	06/26/17	L	D	
68. - Vanguard Wellington Fund	D	Int./Div.			Sold	06/26/17	L	D	

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69. - Stable Income Fund	D	Int./Div.			Sold	06/26/17	L	D	
70. IRA Account #3 (SEI Funds) (Header)									
71. - SEI Dynamic Asset	A	Int./Div.			Sold	07/07/17	J	B	
72. - SEI Inst Managed High Yield	A	Int./Div.			Sold	07/07/17	J	A	
73. - SEI Inst Managed TR Lrgcap	A	Int./Div.			Sold	07/07/17	J	B	
74. - SEI Inst Managed TR MLTSTRG	A	Int./Div.			Sold	07/07/17	J	B	
75. - SEI Inst Managed TR MULT A INFMG	A	Int./Div.			Sold	07/07/17	J	B	
76. - SEI Inst Managed TR MULT ASSET INC	A	Int./Div.			Sold	07/07/17	J	B	
77. - SEI Inst Managed TR MULT ASSACCUM	A	Int./Div.			Sold	07/07/17	J	B	
78. - SEI Inst Managed TR SmallCap	A	Int./Div.			Sold	07/07/17	J	A	
79. - SEI Inst Managed TR US FXD INC	A	Int./Div.			Sold	07/07/17	J	A	
80. - SEI INTL Emerging Debt	A	Int./Div.			Sold	07/07/17	J	A	
81. - SEI Intl Emerging Markets Fund	A	Int./Div.			Sold	07/07/17	J	B	
82. - SEI International Equity Fund	A	Int./Div.			Sold	07/07/17	J	B	
83. - 3M Common	A	Dividend	J	T	Buy	07/17/17	J		
84. - Alphabet A		None	J	T	Buy	07/17/17	J		
85. - Analog Devices	A	Dividend	J	T	Buy	07/17/17	J		

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86. - Auto Zone	A	Dividend	J	T	Buy	07/17/17	J		
87. - Becton Dickinson	A	Dividend	J	T	Buy	07/17/17	J		
88. - CME Group	A	Dividend	J	T	Buy	07/17/17	J		
89. - Colgate Palmolive	A	Dividend	J	T	Buy	07/17/17	J		
90. - Ecolab Inc.	A	Dividend	J	T	Buy	07/17/17	J		
91. - FactSet Research	A	Dividend	J	T	Buy	07/17/17	J		
92. - Graco Inc.	A	Dividend	J	T	Buy	07/17/17	J		
93. - Johnson & Johnson	A	Dividend	J	T	Buy	07/17/17	J		
94. - Lowe's Cos.	A	Dividend	J	T	Buy	07/17/17	J		
95. - Mastercard Inc.	A	Dividend	J	T	Buy	07/17/17	J		
96. - Mettler Toledo Intl.	A	Dividend	J	T	Buy	07/17/17	J		
97. - Middleby Corp.	A	Dividend	J	T	Buy	07/17/17	J		
98. - Moody's Corp.	A	Dividend	J	T	Buy	07/17/17	J		
99. - MSCI Inc.	A	Dividend	J	T	Buy	07/17/17	J		
100. - Nike Inc.	A	Dividend	J	T	Buy	07/17/17	J		
101. - Oracle Corp.	A	Dividend	J	T	Buy	07/17/17	J		
102. - PepsiCo Inc.	A	Dividend	J	T	Buy	07/17/17	J		

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103. - Praxair Inc.	A	Dividend	J	T	Buy	07/17/17	J		
104. - Sherwin Williams	A	Dividend	J	T	Buy	07/17/17	J		
105. - Tiffany & Co.	A	Dividend	J	T	Buy	07/17/17	J		
106. - TJX Cos.	A	Dividend	J	T	Buy	07/17/17	J		
107. - UnitedHealth Group	A	Dividend	J	T	Buy	07/17/17	J		
108. - US Bancorp	A	Dividend	J	T	Buy	07/17/17	J		
109. - Varian Medical Systems	A	Dividend	J	T	Buy	07/17/17	J		
110. - Alcoa Corp.	A	Dividend	J	T	Buy	07/17/17	J		
111. - Allscripts Healthcare	A	Dividend	J	T	Buy	07/17/17	J		
112. - Amedisys Inc.	A	Dividend	J	T	Buy	07/17/17	J		
113. - ANSYS Inc.	A	Dividend	J	T	Buy	07/17/17	J		
114. - Antero Resources	A	Dividend	J	T	Buy	07/17/17	J		
115. - AO Smith Corp.	A	Dividend	J	T	Buy	07/17/17	J		
116. - Bruker Corp.	A	Dividend	J	T	Buy	07/17/17	J		
117. - Burlington Stores	A	Dividend	J	T	Buy	07/17/17	J		
118. - Cadence Design	A	Dividend	J	T	Buy	07/17/17	J		
119. - Cantel Medical	A	Dividend	J	T	Buy	07/17/17	J		

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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Name of Person Reporting

Hummel, Christian F.

Date of Report

07/09/2018

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)
120. - Choe Global Markets Inc.	A	Dividend	J	T	Buy	07/17/17	J		
121. - Centennial Resource Dev	A	Dividend	J	T	Buy	07/17/17	J		
122. - Charles River Laboratories	A	Dividend	J	T	Buy	07/17/17	J		
123. - Chened Corp.	A	Dividend	J	T	Buy	07/17/17	J		
124. - Cimpress NV	A	Dividend	J	T	Buy	07/17/17	J		
125. - Deckers Outdoor	A	Dividend	J	T	Buy	07/17/17	J		
126. - Diamondback Energy	A	Dividend	J	T	Buy	07/17/17	J		
127. - Dril-Quip Inc.	A	Dividend	J	T	Buy	07/17/17	J		
128. - Five Below Inc.	A	Dividend	J	T	Buy	07/17/17	J		
129. - Halyard Health	A	Dividend	J	T	Buy	07/17/17	J		
130. - Hancock Holding	A	Dividend	J	T	Buy	07/17/17	J		
131. - Hill-Rom Holdings	A	Dividend	J	T	Buy	07/17/17	J		
132. - HollyFrontier Corp.	A	Dividend	J	T	Buy	07/17/17	J		
133. - Jacobs Engineering	A	Dividend	J	T	Buy	07/17/17	J		
134. - Joes Lang LaSalle	A	Dividend	J	T	Buy	07/17/17	J		
135. - Legg Mason Inc.	A	Dividend	J	T	Buy	07/17/17	J		
136. - Lending Tree Inc.	A	Dividend	J	T	Buy	07/17/17	J		

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

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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)
137. - LGI Homes Inc.	A	Dividend	J	T	Buy	07/17/17	J		
138. - LPL Financial	A	Dividend	J	T	Buy	07/17/17	J		
139. - MGIC Investment	A	Dividend	J	T	Buy	07/17/17	J		
140. - Monolithic Power Systems	A	Dividend	J	T	Buy	07/17/17	J		
141. - MSC Industrial Direct	A	Dividend	J	T	Buy	07/17/17	J		
142. - National Instruments	A	Dividend	J	T	Buy	07/17/17	J		
143. - Packaging Corp of America	A	Dividend	J	T	Buy	07/17/17	J		
144. - PacWest Bancorp	A	Dividend	J	T	Buy	07/17/17	J		
145. - Perkin Elmer Inc.	A	Dividend	J	T	Buy	07/17/17	J		
146. - Potlatch Deltic	A	Dividend	J	T	Buy	07/17/17	J		
147. - ProPetro Holding	A	Dividend	J	T	Buy	07/17/17	J		
148. - Ralph Lauren Corp.	A	Dividend	J	T	Buy	07/17/17	J		
149. - ResMed Inc.	A	Dividend	J	T	Buy	07/17/17	J		
150. - Resolute Energy Corp.	A	Dividend	J	T	Buy	07/17/17	J		
151. - Spirit AeroSystems	A	Dividend	J	T	Buy	07/17/17	J		
152. - Square Inc.	A	Dividend	J	T	Buy	07/17/17	J		
153. - Syntel Inc.	A	Dividend	J	T	Buy	07/17/17	J		

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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Name of Person Reporting

Hummel, Christian F.

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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)
154. - Teradyne Inc.	A	Dividend	J	T	Buy	07/17/17	J		
155. - Toill Brothers Inc.	A	Dividend	J	T	Buy	07/17/17	J		
156. - TRI Pointe Homes Inc.	A	Dividend	J	T	Buy	07/17/17	J		
157. - United Natural Foods	A	Dividend	J	T	Buy	07/17/17	J		
158. - WABCO Holdings	A	Dividend	J	T	Buy	07/17/17	J		
159. - Williams Sonoma	A	Dividend	J	T	Buy	07/17/17	J		
160. - Wingstop Inc.	A	Dividend	J	T	Buy	07/17/17	J		
161. - Xylem Inc.	A	Dividend	J	T	Buy	07/17/17	J		
162. - Zions Bancorp	A	Dividend	J	T	Buy	07/17/17	J		
163. - Advent Claymore Conv Sec	A	Dividend	J	T	Buy	07/17/17	J		
164. - AllianzGI Equity & Conv	A	Dividend	J	T	Buy	07/17/17	J		
165. - AllianzGI Nfj Dividend Int	A	Dividend	J	T	Buy	07/17/17	J		
166. - Alpine Total Dynamic Div Fund	A	Dividend	J	T	Buy	07/17/17	J		
167. - Black Rock Credit Allocation	A	Dividend	J	T	Buy	07/17/17	J		
168. - Balck Rock Debt Strategies	A	Dividend	J	T	Buy	07/17/17	J		
169. - Black Rock Enhanced Eq Div	A	Dividend	J	T	Buy	07/17/17	J		
170. - Brandywine Global Income	A	Dividend	J	T	Buy	07/17/17	J		

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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Name of Person Reporting

Hummel, Christian F.

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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)
171. - CBOE Clarion Global RE	A	Dividend	J	T	Buy	07/17/17	J		
172. - Cohen & Steers Infrastructure	A	Dividend	J	T	Buy	07/17/17	J		
173. - Duff & Phelps Global Utility	A	Dividend	J	T	Buy	07/17/17	J		
174. - Liberty All-Star Equity Fund	A	Dividend	J	T	Buy	07/17/17	J		
175. - Nuveen Real Asset	A	Dividend	J	T	Buy	07/17/17	J		
176. - River North Double Line Strategic Opp	A	Dividend	J	T	Buy	07/17/17	J		
177. - Royce Value Trust	A	Dividend	J	T	Buy	07/17/17	J		
178. - Wells Fargo Global Div	A	Dividend	J	T	Buy	07/17/17	J		
179. - Altria Group Inc.	A	Dividend	J	T	Buy	07/17/17	J		
180. - Ameren Corp.	A	Dividend	J	T	Buy	07/17/17	J		
181. - Amerisource Bergen	A	Dividend	J	T	Buy	07/17/17	J		
182. - Anthem Inc.	A	Dividend	J	T	Buy	07/17/17	J		
183. - Baxter International	A	Dividend	J	T	Buy	07/17/17	J		
184. - Bio-Rad Laboratories	A	Dividend	J	T	Buy	07/17/17	J		
185. - Campbell Soup	A	Dividend	J	T	Buy	07/17/17	J		
186. - Cardinal Health	A	Dividend	J	T	Buy	07/17/17	J		
187. - Center Point Energy	A	Dividend	J	T	Buy	07/17/17	J		

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

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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)
188. - Church & Dwight Inc.	A	Dividend	J	T	Buy	07/17/17	J		
189. - Cigna Corp.	A	Dividend	J	T	Buy	07/17/17	J		
190. - Clorox Co.	A	Dividend	J	T	Buy	07/17/17	J		
191. - ConAgra Foods	A	Dividend	J	T	Buy	07/17/17	J		
192. - Consolidated Edison	A	Dividend	J	T	Buy	07/17/17	J		
193. - Darden Restaurants	A	Dividend	J	T	Buy	07/17/17	J		
194. - Dr Pepper Snapple	A	Dividend	J	T	Buy	07/17/17	J		
195. - DST Systems	A	Dividend	J	T	Buy	07/17/17	J		
196. - Eli Lilly & Co.	A	Dividend	J	T	Buy	07/17/17	J		
197. - Entergy Corp.	A	Dividend	J	T	Buy	07/17/17	J		
198. - Exelon Corp.	A	Dividend	J	T	Buy	07/17/17	J		
199. - Express Scripts Holding	A	Dividend	J	T	Buy	07/17/17	J		
200. - Hill-Rom Holdings	A	Dividend	J	T	Buy	07/17/17	J		
201. - Humana Inc.	A	Dividend	J	T	Buy	07/17/17	J		
202. - Ingredion Corp.	A	Dividend	J	T	Buy	07/17/17	J		
203. - Jabil Circuit Inc.	A	Dividend	J	T	Buy	07/17/17	J		
204. - Jack Henry & Assoc.	A	Dividend	J	T	Buy	07/17/17	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Hummel, Christian F.

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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)
205. - JM Smucker Co.	A	Dividend	J	T	Buy	07/17/17	J		
206. - Johnson & Johnson	A	Dividend	J	T	Buy	07/17/17	J		
207. - Kimberly-Clark Corp.	A	Dividend	J	T	Buy	07/17/17	J		
208. - Laboratory Corp of America	A	Dividend	J	T	Buy	07/17/17	J		
209. - Lamb Weston Holdings	A	Dividend	J	T	Buy	07/17/17	J		
210. - Leidos Holdings Inc.	A	Dividend	J	T	Buy	07/17/17	J		
211. - McCormick & Co.	A	Dividend	J	T	Buy	07/17/17	J		
212. - McKesson Corp.	A	Dividend	J	T	Buy	07/17/17	J		
213. - Merck & Co.	A	Dividend	J	T	Buy	07/17/17	J		
214. -Pfizer Inc.	A	Dividend	J	T	Buy	07/17/17	J		
215. - Public Service Enterprise Grp	A	Dividend	J	T	Buy	07/17/17	J		
216. - Quest Diagnostics	A	Dividend	J	T	Buy	07/17/17	J		
217. - Reinsurance Group of America	A	Dividend	J	T	Buy	07/17/17	J		
218. - Teleflex Inc.	A	Dividend	J	T	Buy	07/17/17	J		
219. - Torchmark Corp.	A	Dividend	J	T	Buy	07/17/17	J		
220. - Tyson Foods Inc.	A	Dividend	J	T	Buy	07/17/17	J		
221. - Varian Medical Systems	A	Dividend	J	T	Buy	07/17/17	J		

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
222. - Zoetis Inc.	A	Dividend	J	T	Buy	07/17/17	J		
223. - Vermilion Energy Inc.	A	Dividend	J	T	Buy	07/17/17	J		
224. - Assured Guaranty Ltd.	A	Dividend	J	T	Buy	07/17/17	J		
225. - Lululemon Athletica	A	Dividend	J	T	Buy	07/17/17	J		
226. - Marvell Technology	A	Dividend	J	T	Buy	07/17/17	J		
227. - Popular Inc.	A	Dividend	J	T	Buy	07/17/17	J		
228. - Renaissance Holdings	A	Dividend	J	T	Buy	07/17/17	J		
229. - Advent Claymore Conv Sec	A	Dividend	J	T	Buy	07/17/17	J		
230. - Alpine Global Premier	A	Dividend	J	T	Buy	07/17/17	J		
231. - Black Rock Enhanced Global Div	A	Dividend	J	T	Buy	07/17/17	J		
232. - Black Rock Enhanced Intl Div	A	Dividend	J	T	Buy	07/17/17	J		
233. - Clough Global Opportunities	A	Dividend	J	T	Buy	07/17/17	J		
234. - Amdocs Ltd.	A	Dividend	J	T	Buy	07/17/17	J		
235. - Bunge Ltd.	A	Dividend	J	T	Buy	07/17/17	J		
236. - ABB Ltd ADR	A	Dividend	J	T	Buy	07/17/17	J		
237. - Advanced Semiconductor	A	Dividend	J	T	Buy	07/17/17	J		
238. - Allianz SE	A	Dividend	J	T	Buy	07/17/17	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,001 - \$500,000	R = \$500,001 - \$1,000,000 S = \$1,000,001 - \$5,000,000
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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Name of Person Reporting

Hummel, Christian F.

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07/09/2018

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)

239. - Astazeneca ADR	A	Dividend	J	T	Buy	07/17/17	J		
240. - BAE Systems	A	Dividend	J	T	Buy	07/17/17	J		
241. - BNP Paribas	A	Dividend	J	T	Buy	07/17/17	J		
242. - British American Tobacco	A	Dividend	J	T	Buy	07/17/17	J		
243. - China Petroleum	A	Dividend	J	T	Buy	07/17/17	J		
244. - Cie Generale des Etablissements	A	Dividend	J	T	Buy	07/17/17	J		
245. - Daimler AG	A	Dividend	J	T	Buy	07/17/17	J		
246. - Deutsche Telecom	A	Dividend	J	T	Buy	07/17/17	J		
247. - Diageo ADR	A	Dividend	J	T	Buy	07/17/17	J		
248. - Engie SA	A	Dividend	J	T	Buy	07/17/17	J		
249. - GlaxoSmithKline	A	Dividend	J	T	Buy	07/17/17	J		
250. - HSBC Holdings	A	Dividend	J	T	Buy	07/17/17	J		
251. - ING Groep Nv Spon	A	Dividend	J	T	Buy	07/17/17	J		
252. - Japan Tobacco	A	Dividend	J	T	Buy	07/17/17	J		
253. - Lloyds Banking	A	Dividend	J	T	Buy	07/17/17	J		
254. - Manulife Financial	A	Dividend	J	T	Buy	07/17/17	J		
255. - MMC Norlisk Nickel	A	Dividend	J	T	Buy	07/17/17	J		

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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Name of Person Reporting

Hummel, Christian F.

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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)

256. - Muenchener Reukversicherungs	A	Dividend	J	T	Buy	07/17/17	J		
257. - Nestle SA Spon ADR	A	Dividend	J	T	Buy	07/17/17	J		
258. - Nippon Tel & Tel	A	Dividend	J	T	Buy	07/17/17	J		
259. - NN Group NV	A	Dividend	J	T	Buy	07/17/17	J		
260. - Novartis AG ADR	A	Dividend	J	T	Buy	07/17/17	J		
261. - ProSiebenSat	A	Dividend	J	T	Buy	07/17/17	J		
262. - Roche Holdings	A	Dividend	J	T	Buy	07/17/17	J		
263. - Royal Dutch Shell	A	Dividend	J	T	Buy	07/17/17	J		
264. - Siemens AG ADR	A	Dividend	J	T	Buy	07/17/17	J		
265. - Smiths Group PLC	A	Dividend	J	T	Buy	07/17/17	J		
266. - Smurfit Kappa Group	A	Dividend	J	T	Buy	07/17/17	J		
267. - Sonic Healthcare Ltd.	A	Dividend	J	T	Buy	07/17/17	J		
268. - Telefonica Brasil	A	Dividend	J	T	Buy	07/17/17	J		
269. - Total ADR Each Rep	A	Dividend	J	T	Buy	07/17/17	J		
270. - UBS Group	A	Dividend	J	T	Buy	07/17/17	J		
271. - Unilever NV	A	Dividend	J	T	Buy	07/17/17	J		
272. - United Overseas Bank	A	Dividend	J	T	Buy	07/17/17	J		

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

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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)
273. - Vodafone Group	A	Dividend	J	T	Buy	07/17/17	J		
274. - Zurich Insurance Group	A	Dividend	J	T	Buy	07/17/17	J		
275. - Ares Dynamic Credit Allocation	A	Dividend	J	T	Buy	07/17/17	J		
276. - Black Rock Core Bond Trust	A	Dividend	J	T	Buy	07/17/17	J		
277. - Black Rock Corporate HI Yield	A	Dividend	J	T	Buy	07/17/17	J		
278. - Cohen & Steers Ltd. Duration Pref	A	Dividend	J	T	Buy	07/17/17	J		
279. - Cohen & Steers REIT	A	Dividend	J	T	Buy	07/17/17	J		
280. - MFS Charter Income	A	Dividend	J	T	Buy	07/17/17	J		
281. - MFS Multimarker Income	A	Dividend	J	T	Buy	07/17/17	J		
282. - Nuveen Global High Income	A	Dividend	J	T	Buy	07/17/17	J		
283. - Nuveen Pref and Income Opp	A	Dividend	J	T	Buy	07/17/17	J		
284. - Nuveen Pref & Inc Securities	A	Dividend	J	T	Buy	07/17/17	J		
285. - Nuveen Pref & Income Term Fund	A	Dividend	J	T	Buy	07/17/17	J		
286. - Prudential Global Short Duration	A	Dividend	J	T	Buy	07/17/17	J		
287. - Wells Fargo Income Opp	A	Dividend	J	T	Buy	07/17/17	J		
288. - Western Asset Emerging Markets Debt	A	Dividend	J	T	Buy	07/17/17	J		
289. - Western Asset High Yield	A	Dividend	J	T	Buy	07/17/17	J		

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

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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)
290. - Western Asset High Income Opp	A	Dividend	J	T	Buy	07/17/17	J		
291. - AmEx Credit Corp. 2.25%	A	Interest	J	T	Buy	07/17/17	J		
292. - Apple Inc. 1.55%	A	Interest	J	T	Buy	07/17/17	J		
293. - AstraZeneca PLC 2.375%	A	Interest	J	T	Buy	07/17/17	J		
294. - AT&T Inc. 3.875%	A	Interest	J	T	Buy	07/17/17	J		
295. - Bank of America Corp 3.3%	A	Interest	J	T	Buy	07/17/17	J		
296. - Berkshire Hathaway Finance 4.25%	A	Interest	J	T	Buy	07/17/17	J		
297. - Cisco Systems 3.625%	A	Interest	J	T	Buy	07/17/17	J		
298. - Citigroup Inc. 3.75%	A	Interest	J	T	Buy	07/17/17	J		
299. - Coca Cola Co. 3.2%	A	Interest	J	T	Buy	07/17/17	J		
300. - Exxon Mobil Cpr. 3.043%	A	Interest	J	T	Buy	07/17/17	J		
301. - General Electric 2.3%	A	Interest	J	T	Buy	07/17/17	J		
302. - Glied Sciences 2.95%	A	Interest	J	T	Buy	07/17/17	J		
303. - Goldman Sachs 3.5%	A	Interest	J	T	Buy	07/17/17	J		
304. - Home Depot 2.25%	A	Interest	J	T	Buy	07/17/17	J		
305. - HSBC USA Inc. 2.625%	A	Interest	J	T	Buy	07/17/17	J		
306. - Intel Corp 2.7%	A	Interest	J	T	Buy	07/17/17	J		

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

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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)
307. - IBM Corp 3.625%	A	Interest	J	T	Buy	07/17/17	J		
308. - JP Morgan Chase 3.125%	A	Interest	J	T	Buy	07/17/17	J		
309. - Lowe's Cos. 2.5%	A	Interest	J	T	Buy	07/17/17	J		
310. - Lowe's Cos. 3.12%	A	Interest	J	T	Buy	07/17/17	J		
311. - Morgan Stanley 2.125%	A	Interest	J	T	Buy	07/17/17	J		
312. - PepsiCo Inc. 2.375%	A	Interest	J	T	Buy	07/17/17	J		
313. - Pfizer Inc. 3%	A	Interest	J	T	Buy	07/17/17	J		
314. - Shell Intl 3.25%	A	Interest	J	T	Buy	07/17/17	J		
315. - TCI Comm 7.875%	A	Interest	J	T	Buy	07/17/17	J		
316. - Toyota Motor Credit 2.1%	A	Interest	J	T	Buy	07/17/17	J		
317. - Walmart Inc. 5.875%	A	Interest	J	T	Buy	07/17/17	J		
318. - Walt Disney 2.75%	A	Interest	J	T	Buy	07/17/17	J		
319. - Wells Fargo 2.15%	A	Interest	J	T	Buy	07/17/17	J		
320. - BHP Billiton 3.85%	A	Interest	J	T	Buy	07/17/17	J		
321. - BP Capital Markets 3.245%	A	Interest	J	T	Buy	07/17/17	J		
322. - Government Fund SEOXX	A	Interest	J	T	Buy	07/17/17	J		
323. New York State 529 College Savings Plan #1 (header									

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 \$5,000,000	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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Name of Person Reporting

Hummel, Christian F.

Date of Report

07/09/2018

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)
324. - JP Morgan Agressive Age-Based Portfolio	A	Int./Div.	J	T	Buy	05/15/17	J		
325. New York State 529 College Savings Plan #2 (header)									
326. - JP Morgan Moderate Age-Based Portfolio	A	Int./Div.	J	T	Buy	05/10/17	J		
327.									

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	

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

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Name of Person Reporting

Hummel, Christian F.

Date of Report

07/09/2018

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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One Columbus Circle, N.E.
Washington, D.C. 20544