

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 03/06/2020
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 01/01/2018 to 12/31/2018
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.	2018	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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	State University of New York Wages	\$5,662.11
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.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.)*

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.		
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. Capital One Bank IRA Account (Header)									
7. - T Rowe Price 2025 Retmt Fund	B	Int./Div.	K	T					
8. - Cash Account	A	Interest	K	T					
9. I.R.A. Account #1 (Header)									
10. - SunAmerica Dynamic Allocation	C	Int./Div.	L	T					
11. - SunAmerica Dynamic Strategy	C	Int./Div.	L	T					
12. - Secure Value Account SA American Funds Fixed Interest	B	Int./Div.	K	T					
13. Brokerage Account #1 (Header)									
14. - SEI Large Cap Growth	A	Int./Div.	J	T					
15. - SEI Large Cap Value	A	Int./Div.	J	T					
16. - SEI Sm Cap Growth	A	Int./Div.	J	T					
17. - SEI Sm Cap Value	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 = \$250,000.01 - \$500,000.00	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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18. - SEI Intl Equity	A	Int./Div.	J	T					
19. - SEI Emerging Markets	A	Int./Div.	J	T					
20. - SEI Core Fixed Income	A	Int./Div.	J	T	Sold (part)	12/24/18	J	A	
21. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T					
22. - SEI Intl Fixed Income	A	Int./Div.	J	T					
23. - SEI Emerging Markets Debt	A	Int./Div.	J	T					
24. - SEI Government Fund	A	Int./Div.	J	T	Buy	12/24/18	J		
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.			Sold	07/17/18	J	A	
33. - SEI Hi Yield Bond	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 Dynamic Asset	A	Int./Div.	J	T					
36. - SEI Multi-Asset	B	Int./Div.	K	T					
37. - SEI Prime Obligation	A	Int./Div.			Sold	07/17/18	J	A	
38. - SEI Core Fixed Income Fund	A	Interest	J	T	Buy	07/17/18	J		
39. - SEI Government Funs	A	Int./Div.	J	T	Buy	07/17/18	J		
40. Jackson National Life Annuity (IRA) (Header)									
41. - GS Core Plus Bond	B	Int./Div.			Sold	10/29/18	K	B	
42. - T Rowe Price Mid Cap	A	Int./Div.			Sold	10/29/18	K	A	
43. - MC Healthcare Sector	A	Int./Div.			Sold	10/29/18	J	A	
44. - MC Tech Sector	A	Int./Div.			Sold	10/29/18	J	A	
45. - S&P Dividend Inc & Growth	A	Int./Div.			Sold	10/29/18	K	B	
46. - S&P Comp Adv	A	Int./Div.			Sold	10/29/18	K	B	
47. - FR Temp Intl Sm Cap	A	Int./Div.			Sold	10/29/18	J	A	
48. - MC Consumer Bd Sector	A	Int./Div.			Sold	10/29/18	J	A	
49. - T Rowe Price Est Growth	A	Int./Div.			Sold	10/29/18	K	B	
50. - Oppenheimer Global Growth	A	Int./Div.			Sold	10/29/18	K	C	
51. - MC Pacific Rim 30	A	Int./Div.			Sold	10/29/18	J	A	

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52. - PPM America Total Return	A	Int./Div.	K	T					
53. - PPM America Sm Cap Value	A	Int./Div.			Sold	10/29/18	K	C	
54. - PPM America FI Rate Income	A	Int./Div.	J	T					
55. - MC European 30	A	Int./Div.			Sold	10/29/18	J	A	
56. - PPM America Strategic Income	A	Int./Div.			Sold	10/29/18	K	B	
57. - America Hi Yield Bond	A	Int./Div.			Sold	10/29/18	J	A	
58. - Nasdaq 100	B	Int./Div.			Sold	10/29/18	K	B	
59. - 400 MC Index	A	Int./Div.			Sold	10/29/18	K	B	
60. - S&P SMid 60	A	Int./Div.			Sold	10/29/18	J	A	
61. - DFA US Core Equity	A	Int./Div.			Sold	10/29/18	J	A	
62. - MC Financial Sector	A	Int./Div.			Sold	10/29/18	J	A	
63. - MC Oil & Gas Sector	A	Int./Div.			Sold	10/29/18	J	A	
64. - MC Int'l Index	B	Int./Div.			Sold	10/29/18	J	A	
65. - Pimco Real Return	A	Int./Div.	J		Buy	10/29/18	J		
66. - Vanguard US StkMktIndx	C	Int./Div.	M		Buy	10/29/18	M		
67. - Epoch Global SH Yield	B	Int./Div.	K		Buy	10/29/18	K		
68. - Double Line CAPE	B	Int./Div.	K		Buy	10/29/18	K		

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69. - Morningstar Wide Moat	A	Int./Div.	J		Buy	10/29/18	J		
70. - Invesco China-India	A	Int./Div.	J		Buy	10/29/18	J		
71. - Causeway Intl Value Sel	A	Int./Div.	J		Buy	10/29/18	J		
72. - AQR Large Cap Rlxd CnstEq	B	Int./Div.	K		Buy	10/29/18	K		
73. IRA Account #3 (SEI Funds) (Header)									
74. - 3M Common	A	Dividend	J	T					
75. - Alphabet A		None	J	T					
76. - Analog Devices	A	Dividend	J	T					
77. - Auto Zone	A	Dividend	J	T					
78. - Becton Dickinson	A	Dividend	J	T					
79. - CME Group	A	Dividend	J	T					
80. - Colgate Palmolive	A	Dividend	J	T					
81. - Ecolab Inc.	A	Dividend	J	T					
82. - FactSet Research	A	Dividend	J	T					
83. - Graco Inc.	A	Dividend	J	T					
84. - Johnson & Johnson	A	Dividend	J	T					
85. - Lindle PLC	A	Dividend	J	T	Buy	10/17/18	J		

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86. - Lowe's Cos.	A	Dividend	J	T					
87. - Mastercard Inc.	A	Dividend	J	T					
88. - Mettler Toledo Intl.		None	J	T					
89. - Middleby Corp.		None	J	T					
90. - Moody's Corp.	A	Dividend	J	T					
91. - MSCI Inc.	A	Dividend	J	T					
92. - Nike Inc.	A	Dividend	J	T					
93. - Oracle Corp.	A	Dividend	J	T					
94. - PepsiCo Inc.	A	Dividend	J	T					
95. - Praxair Inc.	A	Dividend			Sold	07/25/18	J	A	
96. - Sherwin Williams	A	Dividend	J	T					
97. - Tiffany & Co.	A	Dividend	J	T					
98. - TJX Cos.	A	Dividend	J	T					
99. - UnitedHeath Group	A	Dividend	J	T					
100. - United Technologies	A	Dividend	J	T	Buy	07/25/18	J		
101. - US Bancorp	A	Dividend	J	T					
102. - Variaqn Medical Systems	A	Dividend	J	T					

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103. - ABM Industries	A	Dividend	J	T	Buy	07/25/18	J		
104. - Acuity Brands	A	Dividend	J	T	Buy	07/25/18	J		
105. - Addus HomeCare		None	J	T	Buy	09/18/18	J		
106. - Agco	A	Dividend	J	T	Buy	09/18/18	J		
107. - Alaska Air Group	A	Dividend	J	T	Buy	09/18/18	J		
108. - Alcoa Corp.	A	Dividend			Sold	08/22/18	J	A	
109. - Allscripts Healthcare	A	Dividend			Sold	08/22/18	J	A	
110. - Altra Industrial	A	Dividend	J	T					
111. - Amedisys Inc.	A	Dividend	J	T	Buy	05/30/18	J		
112. - American Outdoor Brands		None	J	T	Buy	05/30/18	J		
113. - ANSYS Inc.	A	Dividend			Sold	08/22/18	J	A	
114. - Antero Resources	A	Dividend			Sold	05/30/18	J	A	
115. - AO Smith Corp.	A	Dividend	J	T					
116. - Armour Residential REIT	A	Dividend	J	T	Buy	10/03/18	J		
117. - Armstrong World	A	Dividend	J	T	Buy	10/03/18	J		
118. - Assurant Inc.	A	Dividend	J	T	Buy	08/07/18	J		
119. - Balchem Corp	A	Dividend	J	T	Buy	10/03/18	J		

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Date of Report

03/06/2020

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. - Bancorp South Bank	A	Dividend	J	T	Buy	08/07/18	J		
121. - Big Lots Inc.	A	Dividend	J	T	Buy	08/07/18	J		
122. - Bruker Corp.	A	Dividend	J	T					
123. - Burlington Stores		None	J	T					
124. - Cadence Design		None	J	T					
125. - Calavo Growers	A	Dividend	J	T	Buy	07/25/18	J		
126. - Cantel Medical	A	Dividend	J	T					
127. - Choe Global Markets Inc.	A	Dividend			Sold	07/25/18	J	A	
128. - Centennial Resource Dev		None	J	T					
129. - CF Industries Holdings	A	Dividend	J	T	Buy	07/25/18	J		
130. - Charles River Laboratories		None	J	T					
131. - Chemed Corp.	A	Dividend	J	T					
132. - Choice Hotels	A	Dividend	J	T					
133. - Cimpress NV		None	J	T					
134. - Cirrus Logic	A	Dividend	J	T	Buy	08/07/18	J		
135. - Coeur Mining		None	J	T	Buy	08/07/18	J		
136. - Cogent Communications	A	Dividend	J	T	Buy	08/03/18	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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Hummel, Christian F.

Date of Report

03/06/2020

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. - CommVault Systems		None	J	T	Buy	08/07/18	J		
138. - Cooper Tire	A	Dividend	J	T	Buy	08/07/18	J		
139. - CoreSite Realty	A	Dividend	J	T	Buy	08/07/18	J		
140. - Coupa Software		None	J	T	Buy	08/22/18	J		
141. - Deckers Outdoor		None	J	T					
142. - Diamondback Energy	A	Dividend			Sold	08/07/18	J	A	
143. - Dine Brands Global	A	Dividend	J	T	Buy	08/22/18	J		
144. - Dorman Products		None	J	T	Buy	10/03/18	J		
145. - Dril-Quip Inc.		None	J	T					
146. - Eagle Bancorp		None	J	T	Buy	08/22/18	J		
147. - East Group Properties	A	Dividend	J	T	Buy	09/05/18	J		
148. - Euronet Worldwide		None	J	T	Buy	08/22/18	J		
149. - First American Financial	A	Dividend	J	T	Buy	08/22/18	J		
150. - First Financial Bancshares	A	Dividend	J	T	Buy	08/29/18	J		
151. - First Interstate Bank	A	Dividend	J	T	Buy	08/29/18	J		
152. - Five Below Inc.		None	J	T					
153. - Fortinet Inc.		None	J	T	Buy	09/05/18	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.

Date of Report

03/06/2020

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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				
	(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. - Fox Factory Holding		None	J	T	Buy	09/05/18	J		
155. - Frontier Communications		None	J	T	Buy	08/22/18	J		
156. - Genesco Inc.		None	J	T	Buy	09/05/18	J		
157. - Goodyear Tire	A	Dividend	J	T	Buy	09/05/18	J		
158. - Greenbrier Cos.	A	Dividend	J	T	Buy	08/22/18	J		
159. - Green Plains Inc.	A	Dividend	J	T	Buy	09/05/18	J		
160. - Halyard Health	A	Dividend			Sold	09/05/18	J	A	
161. - Hancock Holding	A	Dividend			Sold	08/22/18	J	A	
162. - Hawaiian Electric	A	Dividend	J	T	Buy	08/22/18	J		
163. - Healthcare Services Group	A	Dividend	J	T	Buy	08/22/18	J		
164. - Health Insurance Innovations	A	Dividend	J	T	Buy	08/22/18	J		
165. - Helmerich & Payne	A	Dividend	J	T	Buy	07/25/18	J		
166. - Hill-Rom Holdings	A	Dividend	J	T					
167. - HollyFrontier Corp.	A	Dividend	J	T					
168. - Integra Life Sciences		None	J	T	Buy	11/07/18	J		
169. - iRhythm Technologies		None	J	T	Buy	11/14/18	J		
170. - Iron Mtn	A	Dividend	J	T	Buy	11/14/18	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
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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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Name of Person Reporting

Hummel, Christian F.

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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				
	(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. - Jacobs Engineering	A	Dividend			Sold	07/25/18	J	A	
172. - Jones Lang LaSalle	A	Dividend			Sold	11/14/18	J	A	
173. - Kennametal Inc.	A	Dividend	J	T	Buy	11/14/18	J		
174. - Lamb Weston Holdings	A	Dividend	J	T	Buy	07/25/18	J		
175. - Lancaster Colony	A	Dividend	J	T	Buy	10/03/18	J		
176. - Legg Mason Inc.	A	Dividend			Sold	11/14/18	J	A	
177. - Lending Tree Inc.	A	Dividend			Sold	11/14/18	J	A	
178. - LGI Homes Inc.	A	Dividend			Sold	10/03/18	J	A	
179. - Live Nation Entertainment		None	J	T	Buy	10/03/18	J		
180. - LPL Financial	A	Dividend			Sold	10/30/18	J	A	
181. - Manhattan Associates		None	J	T	Buy	11/14/18	J		
182. - Masonite International		None	J	T	Buy	11/14/18	J		
183. - Meritage Homes Corp.		None	J	T	Buy	11/14/18	J		
184. - MGIC Investment		None			Sold	12/12/18	J	A	
185. - MicroStrategy Inc.		None	J	T	Buy	12/12/18	J		
186. - Moelis & Co.	A	Dividend	J	T	Buy	10/03/18	J		
187. - Monolithic Power Systems	A	Dividend	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
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Name of Person Reporting

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03/06/2020

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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				
	(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. - MSC Industrial Direct	A	Dividend			Sold	12/12/18	J	A	
189. - National Instruments	A	Dividend	J	T					
190. - Neogen Corp.		None	J	T	Buy	10/03/18	J		
191. - Nutanix Inc.		None	J	T	Buy	08/22/18	J		
192. - Packaging Corp of America	A	Dividend			Sold	11/14/18	J	A	
193. - PacWest Bancorp	A	Dividend	J	T					
194. - Paramount Group Inc.	A	Dividend	J	T	Buy	12/12/18	J		
195. - Pattern Energy Group	A	Dividend	J	T	Buy	11/14/18	J		
196. - Patterson UTI Energy	A	Dividend	J	T	Buy	11/14/18	J		
197. - Perkin Elmer Inc.	A	Dividend	J	T					
198. - Potlatch Deltic	A	Dividend	J	T					
199. - Power Integrations	A	Dividend	J	T	Buy	12/12/18	J		
200. - Progress Software	A	Dividend	J	T	Buy	11/14/18	J		
201. - ProPetro Holding		None	J	T					
202. - Prosperity Bancshares	A	Dividend	J	T	Buy	11/14/18	J		
203. - PS Business parks	A	Dividend	J	T	Buy	10/03/18	J		
204. - Pulte Group	A	Dividend	J	T	Buy	12/12/18	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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205. - Qiagen Nv Shares		None	J	T	Buy	12/12/18	J		
206. - QTS Realty Trust	A	Dividend	J	T	Buy	11/14/18	J		
207. - Ralph Lauren Corp.	A	Dividend	J	T					
208. - Redfin Corp.		None	J	T	Buy	07/25/18	J		
209. - Reinsurance Group of America	A	Dividend	J	T	Buy	10/03/18	J		
210. - RE/MAX Holdings	A	Dividend	J	T	Buy	08/25/18	J		
211. - ResMed Inc.	A	Dividend			Sold	08/22/18	J	A	
212. - Resolute Energy Corp.		None			Sold	12/12/18	J	A	
213. - Rollins Inc.	A	Dividend	J	T	Buy	08/22/18	J		
214. - Royal Gold	A	Dividend	J	T	Buy	12/12/18	J		
215. - Schnitzer Steel	A	Dividend	J	T	Buy	07/25/18	J		
216. - Sealed Air Corp	A	Dividend	J	T	Buy	07/25/18	J		
217. - Seattle Genetics		None	J	T	Buy	07/25/18	J		
218. - Spirit AeroSystems		None	J	T					
219. - SPS Commerce		None	J	T	Buy	07/25/18	J		
220. - Steris PLC	A	Dividend	J	T	Buy	07/25/18	J		
221. - Square Inc.	A	Dividend			Sold	07/25/18	J	A	

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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	
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222. - Syntel Inc.	A	Dividend			Sold	08/22/18	J	A	
223. - Tempur Sealy		None	J	T	Buy	07/25/18	J		
224. - Teradyne Inc.	A	Dividend	J	T					
225. - Texas Roadhouse	A	Dividend	J	T	Buy	09/18/18	J		
226. - Toll Brothers Inc.	A	Dividend			Sold	09/18/18	J	A	
227. - Torchmark	A	Dividend	J	T	Buy	08/22/18	J		
228. - Trimble Inc.		None	J	T	Buy	08/07/18	J		
229. - Trip Advisor		None	J	T	Buy	04/18/18	J		
230. - TRI Pointe Homes Inc.	A	Dividend			Sold	08/07/18	J	A	
231. - Trustmark Corp.	A	Dividend	J	T	Buy	10/03/18	J		
232. - Two Harbors Investment Corp.	A	Dividend	J	T	Buy	10/03/18	J		
233. - United Natural Foods		None			Sold	10/03/18	J	A	
234. - United Therapeutics		None	J	T	Buy	07/25/18	J		
235. - Universal Corp	A	Dividend	J	T	Buy	08/22/18	J		
236. - US Physical Therapy	A	Dividend	J	T	Buy	07/25/18	J		
237. - Varonis Systems		None	J	T	Buy	08/22/18	J		
238. - Waddell & Reed	A	Dividend	J	T	Buy	08/22/18	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 = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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239. - Watts Water Technologies	A	Dividend	J	T	Buy	07/25/18	J		
240. - West Pharmaceuticals	A	Dividend	J	T	Buy	09/05/18	J		
241. - WABCO Holdings	A	Dividend			Sold	09/05/18	J	A	
242. - Williams Sonoma	A	Dividend			Sold	05/01/18	J	A	
243. - Wingstop Inc.	A	Dividend	J	T					
244. - Xylem Inc.	A	Dividend			Sold	07/25/18	J	A	
245. - Yext Inc.		None	J	T	Buy	07/25/18	J		
246. - Zions Bancorp	A	Dividend	J	T					
247. - Aberdeen Global Dynamic	A	Dividend	J	T	Buy	07/25/18	J		
248. - Aberdeen Global Premier Properties	A	Dividend	J	T	Buy	07/25/18	J		
249. - Aberdeen Toatl Dynamic Dividends	A	Dividend	J	T	Buy	07/25/18	J		
250. - Advent Claymore Conv Sec	A	Dividend	J	T					
251. - AllianzGI Equity & Conv	A	Dividend	J	T					
252. - AllianzGI Nfj Dividend Int	A	Dividend	J	T					
253. - Alpine Total Dynamic Div Fund	A	Dividend			Sold	11/28/18	J	A	
254. - Apollo Senior Floating Rate	A	Dividend	J	T	Buy	11/28/18	J		
255. - Black Rock Credit Allocation	A	Dividend	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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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. - Balck Rock Debt Strategies	A	Dividend	J	T					
257. - Black Rock Enhanced Eq Div	A	Dividend			Sold	07/25/18	J	A	
258. - Blackrock Resources & Commodities	A	Dividend	J	T	Buy	07/25/18	J		
259. - Brandywine Global Income	A	Dividend	J	T					
260. - CBRE Clarion Global RE	A	Dividend	J	T					
261. - Cohen & Steers Infrastructure	A	Dividend			Sold	07/25/18	J	A	
262. - Duff & Phelps Global Utility	A	Dividend	J	T					
263. - General American Investors	A	Dividend	J	T	Buy	07/25/18	J		
264. - John Hancock Tax-Adv Dividend	A	Dividend	J	T	Buy	10/03/18	J		
265. - Liberty All-Star Equity Fund	A	Dividend			Sold	11/28/18	J	A	
266. - Nuveen Real Asset	A	Dividend	J	T					
267. - Pgim Glb Sht Duration Hi Yield	A	Dividend	J	T	Buy	07/25/18	J		
268. - Pgim Short Duration Hi Yield	A	Dividend	J	T	Buy	07/25/18	J		
269. - River North Double Line Strategic Opp	A	Dividend	J	T					
270. - Royce Micro Cap	A	Dividend	J	T	Buy	11/28/18	J		
271. - Royce Value Trust	A	Dividend	J	T					
272. - Tri-Continental Corp.	A	Dividend	J	T	Buy	07/25/18	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)
273. - Wells Fargo Global Div	A	Dividend	J	T					
274. - AGNC Investment Corp.	A	Dividend	J	T	Buy	11/14/18	J		
275. - Akamai Technologies		None	J	T	Buy	11/14/18	J		
276. - Altria Group Inc.	A	Dividend	J	T					
277. - Ameren Corp.	A	Dividend	J	T					
278. - American Financial Group	A	Dividend	J	T	Buy	10/03/18	J		
279. - Amerisource Bergen	A	Dividend	J	T					
280. - Annaly Capital Management	A	Dividend	J	T	Buy	08/09/18	J		
281. - Anthem Inc.	A	Dividend	J	T					
282. - Apple Hospitality REIT	A	Dividend	J	T	Buy	08/09/18	J		
283. - Archer Daniels Midland	A	Dividend	J	T	Buy	08/09/18	J		
284. - A T & T Inc.	A	Dividend	J	T	Buy	08/09/18	J		
285. - Baxter International	A	Dividend	J	T					
286. - Bio-Rad Laboratories	A	Dividend	J	T					
287. - Bio Techne Corp.	A	Dividend	J	T	Buy	11/14/18	J		
288. - Broadridge Financial	A	Dividend	J	T	Buy	11/14/18	J		
289. - Campbell Soup	A	Dividend			Sold	11/14/18	J	A	

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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03/06/2020

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. - Cardinal Health	A	Dividend	J	T					
291. - Center Point Energy	A	Dividend	J	T					
292. - Chemed Corp.	A	Dividend	J	T	Buy	08/09/18	J		
293. - Chimera Investment	A	Dividend	J	T	Buy	08/09/18	J		
294. - Church & Dwight Inc.	A	Dividend	J	T					
295. - Cigna Corp.	A	Dividend	J	T					
296. - Clorox Co.	A	Dividend	J	T					
297. - Colgate Palmolive	A	Dividend	J	T	Buy	08/09/18	J		
298. - ConAgra Foods	A	Dividend	J	T					
299. - Consolidated Edison	A	Dividend	J	T					
300. - Darden Restaurants	A	Dividend	J	T					
301. - Dr Pepper Snapple	A	Dividend			Sold	08/09/18	J	A	
302. - Davita Inc.	A	Dividend	J	T	Buy	08/09/18	J		
303. - DTE Energy Co.	A	Dividend	J	T	Buy	08/09/18	J		
304. - DST Systems	A	Dividend			Sold	08/09/18	J	A	
305. - Eli Lilly & Co.	A	Dividend	J	T					
306. - Energizer Holdings Inc.	A	Dividend	J	T	Buy	08/09/18	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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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. - Entergy Corp.	A	Dividend	J	T					
308. - Equity Commonwealth		None	J	T	Buy	08/09/18	J		
309. - Evergy Inc.	A	Dividend	J	T	Buy	11/14/18	J		
310. - Exelon Corp.	A	Dividend	J	T					
311. - Express Scripts Holding		None			Sold	11/14/18	J	A	
312. - Flowers Foods Inc.	A	Dividend	J	T	Buy	11/14/18	J		
313. - Henry Schein Inc.	A	Dividend	J	T	Buy	08/09/18	J		
314. - Hill-Rom Holdings	A	Dividend	J	T					
315. - Hospitality Properties	A	Dividend	J	T	Buy	08/09/18	J		
316. - H & R Block	A	Dividend	J	T	Buy	08/09/18	J		
317. - Humana Inc.	A	Dividend	J	T					
318. - Ingredion Corp.	A	Dividend	J	T					
319. - Jabil Circuit Inc.	A	Dividend			Sold	11/14/18	J	A	
320. - Jack Henry & Assoc.	A	Dividend	J	T					
321. - JM Smucker Co.	A	Dividend	J	T					
322. - Johnson & Johnson	A	Dividend	J	T					
323. - Kelleogg Co.	A	Dividend	J	T	Buy	11/14/18	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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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)
324. - Kimberly-Clark Corp.	A	Dividend	J	T					
325. - Laboratory Corp of America		None	J	T					
326. - Lamb Weston Holdings	A	Dividend	J	T					
327. - Leidos Holdings Inc.	A	Dividend	J	T					
328. - McCormick & Co.	A	Dividend	J	T					
329. - McKesson Corp.	A	Dividend	J	T					
330. - MDU Resources Group	A	Dividend	J	T	Buy	08/09/18	J		
331. - Medical Properties Trust	A	Dividend	J	T	Buy	11/14/18	J		
332. - MEDNAX Inc.		None	J	T	Buy	08/07/18	J		
333. - Merck & Co.	A	Dividend	J	T					
334. - MFA Financial	A	Dividend	J	T	Buy	07/25/18	J		
335. - New Residential	A	Dividend	J	T	Buy	08/09/18	J		
336. - New York Community Bancorp	A	Dividend	J	T	Buy	11/14/18	J		
337. - OGE Energy Corp	A	Dividend	J	T	Buy	08/09/18	J		
338. - Park Hotels & Resorts	A	Dividend	J	T	Buy	08/09/18	J		
339. -Pfizer Inc.	A	Dividend	J	T					
340. - Philip Morris	A	Dividend	J	T	Buy	11/14/18	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)

341. - PNC Financial	A	Dividend	J	T	Buy	08/09/18	J		
342. - Premier Inc.		None	J	T	Buy	07/25/18	J		
343. - Public Service Enterprise Grp	A	Dividend	J	T					
344. - Quest Diagnostics	A	Dividend	J	T					
345. - Realogy Holdings	A	Dividend	J	T	Buy	11/14/18	J		
346. - Reinsurance Group of America	A	Dividend	J	T					
347. - Robert Half Intl	A	Dividend	J	T	Buy	08/09/18	J		
348. - Silgan Holdings	A	Dividend	J	T	Buy	11/14/18	J		
349. - TCF Financial Corp	A	Dividend	J	T	Buy	08/09/18	J		
350. - Teleflex Inc.	A	Dividend			Sold	02/08/18	J	A	
351. - Telephone & Data Systems	A	Dividend	J	T	Buy	11/14/18	J		
352. - Torchmark Corp.	A	Dividend	J	T					
353. - Total Systems	A	Dividend	J	T	Buy	08/09/18	J		
354. - Two Harbors	A	Dividend	J	T	Buy	08/09/18	J		
355. - Tyson Foods Inc.	A	Dividend	J	T					
356. - Unum Group	A	Dividend	J	T	Buy	07/25/18	J		
357. - Varian Medical Systems		None	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
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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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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)
358. - Vectren Corp	A	Dividend	J	T	Buy	07/25/18	J		
359. - WellCare Health Plans		None	J	T	Buy	08/22/18	J		
360. - Wyndham Destinations	A	Dividend	J	T	Buy	11/14/18	J		
361. - Xcel Energy	A	Dividend	J	T	Buy	11/14/18	J		
362. - Zoetis Inc.	A	Dividend	J	T					
363. - Vermilion Energy Inc.	A	Dividend	J	T					
364. - Assured Guaranty Ltd.	A	Dividend	J	T					
365. - Pentair PLC	A	Dividend	J	T	Buy	07/25/18	J		
366. - Lululemon Athletica	A	Dividend			Sold	07/25/18	J	A	
367. - Marvell Technology	A	Dividend			Sold	09/18/18	J	A	
368. - Popular Inc.	A	Dividend			Sold	08/07/18	J	A	
369. - Renaissance Holdings	A	Dividend			Sold	06/13/18	J	A	
370. - Advent Claymore Conv Sec	A	Dividend			Sold	08/28/18	J	A	
371. - Alpine Global Premier	A	Dividend			Sold	08/28/18	J	A	
372. - Black Rock Enhanced Global Div	A	Dividend	J	T					
373. - Black Rock Enhanced Intl Div	A	Dividend	J	T					
374. - Clough Global Opportunities	A	Dividend	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 \$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	

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)
375. - Amdocs Ltd.	A	Dividend	J	T					
376. - Bunge Ltd.	A	Dividend			Sold	08/28/18	J	A	
377. - ABB Ltd ADR	A	Dividend	J	T					
378. - Advanced Semiconductor	A	Dividend			Sold	08/28/18	J	A	
379. - Allianz SE	A	Dividend	J	T					
380. - ASE Technology		None	J	T	Buy	08/28/18	J		
381. - Astazeneca ADR	A	Dividend	J	T					
382. - BAE Systems	A	Dividend	J	T					
383. - BCE Inc.	A	Dividend	J	T	Buy	08/28/18	J		
384. - BNP Paribas	A	Dividend	J	T					
385. - BOC Hong Kong	A	Dividend	J	T	Buy	08/28/18	J		
386. - British American Tobacco	A	Dividend	J	T					
387. - China Petroleum	A	Dividend	J	T					
388. - Cie Generale des Etablissements	A	Dividend	J	T					
389. - Daimler AG	A	Dividend	J	T					
390. - Deutsche Telecom	A	Dividend	J	T					
391. - Diageo ADR	A	Dividend	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 \$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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Hummel, Christian F.

Date of Report

03/06/2020

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)
392. - Engie SA	A	Dividend	J	T					
393. - GlaxoSmithKline	A	Dividend	J	T					
394. - Honda Motors	A	Dividend	J	T	Buy	08/28/18	J		
395. - HSBC Holdings	A	Dividend	J	T					
396. - Imperial Brands	A	Dividend	J	T	Buy	04/27/18	J		
397. - ING Groep Nv Spon	A	Dividend			Sold	04/27/18	J	A	
398. - Japan Tobacco	A	Dividend			Sold	04/27/18	J	A	
399. - Lloyds Banking	A	Dividend	J	T					
400. - Manulife Financial	A	Dividend	J	T					
401. - MMC Norlisk Nickel	A	Dividend	J	T					
402. - Muenchener Reukversicherungs	A	Dividend	J	T					
403. - Nestle SA Spon ADR	A	Dividend	J	T					
404. - Nippon Tel & Tel	A	Dividend	J	T					
405. - NN Group NV	A	Dividend	J	T					
406. - Novartis AG ADR	A	Dividend	J	T					
407. - Orkla ASA	A	Dividend	J	T	Buy	04/27/18	J		
408. - ProSiebenSat	A	Dividend	J	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 28 of 35

Name of Person Reporting

Hummel, Christian F.

Date of Report

03/06/2020

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)
409. - Roche Holdings	A	Dividend	J	T					
410. - Royal Dutch Shell	A	Dividend	J	T					
411. - Sanofi - Aventis	A	Dividend	J	T	Buy	04/27/18	J		
412. - Siemens AG ADR	A	Dividend	J	T					
413. - Singapore Telecommunications	A	Dividend	J	T	Buy	04/27/18	J		
414. - Smiths Group PLC	A	Dividend	J	T					
415. - Smurfit Kappa Group	A	Dividend	J	T					
416. - Sonic Healthcare Ltd.	A	Dividend	J	T					
417. - SSE PLC	A	Dividend	J	T	Buy	04/27/18	J		
418. - Telefonica Brasil	A	Dividend	J	T					
419. - Total ADR Each Rep	A	Dividend	J	T					
420. - UBS Group	A	Dividend	J	T					
421. - Unilever NV	A	Dividend	J	T					
422. - United Overseas Bank	A	Dividend	J	T					
423. - Vodafone Group	A	Dividend	J	T					
424. - Zurich Insurance Group	A	Dividend	J	T					
425. - Apollo Tactical Income	A	Dividend	J	T	Buy	07/25/18	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		

FINANCIAL DISCLOSURE REPORT

Page 29 of 35

Name of Person Reporting

Hummel, Christian F.

Date of Report

03/06/2020

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)
426. - Ares Dynamic Credit Allocation	A	Dividend	J	T					
427. - Black Rock Core Bond Trust	A	Dividend	J	T					
428. - Black Rock Corporate HI Yield	A	Dividend	J	T					
429. - Blackrock Income Trust	A	Dividend	J	T	Buy	07/25/18	J		
430. - Blackrock Taxable Municipal	A	Dividend	J	T	Buy	07/25/18	J		
431. - Boulder Growth & Income	A	Dividend	J	T	Buy	07/25/18	J		
432. - Cohen & Steers Ltd. Duration Pref	A	Dividend	J	T					
433. - Cohen & Steers REIT	A	Dividend	J	T					
434. - Eaton Vance Ltd Duration	A	Dividend	J	T	Buy	07/25/18	J		
435. - First Trust High Income	A	Dividend	J	T	Buy	07/25/18	J		
436. - First Trust Interm Duration	A	Dividend	J	T	Buy	07/25/18	J		
437. - MFS Charter Income	A	Dividend	J	T					
438. - MFS Intermed Income	A	Dividend	J	T	Buy	07/25/18	J		
439. - MFS Multimarker Income	A	Dividend	J	T					
440. - Nuveen Credit Strategies	A	Dividend	J	T	Buy	07/25/18	J		
441. - Nuveen Global High Income	A	Dividend	J	T					
442. - Nuveen Pref and Income Opp	A	Dividend	J	T					

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		

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)

443. - Nuveen Pref & Inc Securities	A	Dividend	J	T					
444. - Nuveen Pref & Income Term Fund	A	Dividend	J	T					
445. - Nuveen Real Estate Fund	A	Dividend	J	T	Buy	07/25/18	J		
446. - Prudential Global Short Duration	A	Dividend			Sold	07/25/18	J	A	
447. - Putnam Master Income	A	Dividend	J	T	Buy	07/25/18	J		
448. - Templeton Global	A	Dividend	J	T	Buy	07/25/18	J		
449. - Wells Fargo Income Opp	A	Dividend	J	T					
450. - Western Asset Emerging Markets Debt	A	Dividend	J	T					
451. - Western Asset Global Corporate	A	Dividend	J	T	Buy	07/25/18	J		
452. - Western Asset Global High Income	A	Dividend	J	T	Buy	07/25/18	J		
453. - Western Asset High Yield	A	Dividend	J	T					
454. - Western Asset High Income II	A	Dividend	J	T	Buy	07/25/18	J		
455. - Western Asset High Income Opp	A	Dividend	J	T					
456. - AmEx Credit Corp. 2.25%	A	Interest	J	T					
457. - Apple Inc. 1.55%	A	Interest	J	T					
458. - AstraZeneca PLC 2.375%	A	Interest	J	T					
459. - AT&T Inc. 3.875%	A	Interest	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
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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	

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)

460. - Bank of America Corp 3.3%	A	Interest	J	T					
461. - Berkshire Hathaway Finance 4.25%	A	Interest	J	T					
462. - Cisco Systems 3.625%	A	Interest	J	T					
463. - Citigroup Inc. 3.75%	A	Interest	J	T					
464. - Coca Cola Co. 3.2%	A	Interest	J	T					
465. - Comcast Corp 3.15%	A	Interest	J	T	Buy	09/12/18	J		
466. - Exxon Mobil Cpr. 3.043%	A	Interest	J	T					
467. - General Electric 2.3%	A	Interest	J	T					
468. - Gliad Sciences 2.95%	A	Interest	J	T					
469. - Goldman Sachs 3.5%	A	Interest	J	T					
470. - Home Depot 2.25%	A	Interest			Redeemed	09/10/18	J	A	
471. - HSBC USA Inc. 2.625%	A	Interest			Redeemed	09/24/18	J	A	
472. - Intel Corp 2.7%	A	Interest	J	T					
473. - IBM Corp 3.625%	A	Interest	J	T					
474. - JP Morgan Chase 3.125%	A	Interest	J	T					
475. - Lowe's Cos. 2.5%	A	Interest	J	T					
476. - Lowe's Cos. 3.12%	A	Interest	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
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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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	(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)

477. - Morgan Stanley 2.125%	A	Interest	J	T					
478. - Northrup Grumman 3.25%	A	Interest	J	T	Buy	05/04/18	J		
479. - PepsiCo Inc. 2.375%	A	Interest	J	T					
480. - Pfizer Inc. 3%	A	Interest	J	T					
481. - Shell Intl 3.25%	A	Interest	J	T					
482. - TCI Comm 7.875%	A	Interest	J	T					
483. - Toyota Motor Credit 2.1%	A	Interest	J	T					
484. - Walmart Inc. 5.875%	A	Interest	J	T					
485. - Walt Disney 2.75%	A	Interest	J	T					
486. - Wells Fargo 2.15%	A	Interest	J	T					
487. - BHP Billiton 3.85%	A	Interest	J	T					
488. - BP Capital Markets 3.245%	A	Interest	J	T					
489. - Government Fund SEOXX	A	Interest	J	T					
490. New York State 529 College Savings Plan #1 (header)									
491. - JP Morgan Agressive Age-Based Portfolio	A	Int./Div.	J	T					
492. New York State 529 College Savings Plan #2 (header)									
493. - JP Morgan Moderate Age-Based Portfolio	A	Int./Div.	J	T					

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
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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
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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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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)
494.									

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
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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	

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

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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