

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 06/27/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States District Court Northern District of New York 445 Broadway Albany, NY 12207		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2019	New York State Retirement System, currently receiving pension
2.	
3.	

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Name of Person Reporting

Hummel, Christian F.

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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. 2019	State University of New York Wages	\$5,923.88
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.	
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.)

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			Merged (with line 2)	01/31/19	L	A	
2. Key Bank	A	Interest	M	T					
3. S.E.F.C.U. Account	A	Interest	K	T					
4. Capital One Bank (Savings)	A	Interest	J	T					
5. Trustco Bank Account	A	Interest	L	T	Buy	07/22/19	L		
6. Altria Group, Inc. Common Stock	A	Dividend	J	T					
7. Capital One Bank IRA Account (Header)									
8. - T Rowe Price 2025 Retmt Fund	B	Int./Div.	K	T					
9. - Cash Account	A	Interest	K	T					
10. I.R.A. Account #1 (Header)									
11. - SunAmerica Dynamic Allocation	C	Int./Div.	L	T					
12. - SunAmerica Dynamic Strategy	C	Int./Div.	L	T					
13. - Secure Value Account SA American Funds Fixed Interest	B	Int./Div.	K	T					
14. Brokerage Account #1 (Header)									
15. - SEI Large Cap Growth	A	Int./Div.	J	T	Sold (part)	06/24/19	J	A	
16. - SEI Large Cap Value	A	Int./Div.	J	T	Sold (part)	12/24/19	J	A	
17. - SEI Sm Cap Growth	A	Int./Div.	J	T	Sold (part)	12/24/19	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 \$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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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. - SEI Sm Cap Value	A	Int./Div.	J	T	Sold (part)	09/24/19	J	A	
19. - SEI Intl Equity	A	Int./Div.	J	T	Sold (part)	12/24/19	J	A	
20. - SEI Emerging Markets Equity	A	Int./Div.	J	T	Sold (part)	12/24/19	J	A	
21. - SEI Core Fixed Income	A	Int./Div.	J	T	Sold (part)	06/24/19	J	A	
22. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T	Sold (part)	09/24/19	J	A	
23. - SEI Intl Fixed Income	A	Int./Div.	J	T	Sold (part)	09/24/19	J	A	
24. - SEI Emerging Markets Debt	A	Int./Div.	J	T	Sold (part)	12/24/19	J	A	
25. - SEI Government Fund	A	Int./Div.	J	T					
26. Legg Mason Global Asset (Roth IRA) (Header)									
27. - Legg Mason Lifestyle / Moderate Allocation	A	Int./Div.	J	T					
28. IRA Account #2 (SEI Funds) (Header)									
29. - SEI Large Cap	A	Int./Div.	K	T					
30. - SEI Small Cap	A	Int./Div.	J	T					
31. - SEI Intl Equity	A	Int./Div.	K	T					
32. - SEI Emerging Markets Equity	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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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 Core Fixed Income Fund	A	Interest	J	T					
38. - SEI Government Fund	A	Int./Div.	K	T					
39. Jackson National Life Annuity (IRA) (Header)									
40. - PPM America Total Return	A	Int./Div.	J	T					
41. - PPM America Fl Rate Income	A	Int./Div.			Sold	05/15/19	J	A	
42. - Pimco Real Return	A	Int./Div.			Sold	08/28/19	J	A	
43. - Vanguard US StkMktIndx	C	Int./Div.	L	T					
44. - Epoch Global SH Yield	B	Int./Div.			Sold	10/29/19	K	A	
45. - Double Line CAPE	B	Int./Div.	J	T					
46. - Morningstar Wide Moat	A	Int./Div.	K	T					
47. - Invesco China-India	A	Int./Div.			Sold	07/05/19	J	A	
48. - Causeway Intl Value Sel	A	Int./Div.			Sold	07/05/19	J	A	
49. - AQR Large Cap Rlxd CnstEq	A	Int./Div.	J	T					
50. - JP Morgan US Govt	B	Int./Div.	K	T	Buy	10/29/19	K		
51. - MC Equity Income	A	Int./Div.	J	T	Buy	08/28/19	J		

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52. - MC Real Estate Sector	A	Dividend	J	T	Buy	10/29/19	J		
53. - T Rowe Price Est Growth	A	Dividend	J	T	Buy	07/05/19	J		
54. - Vanguard Intl Stk Mkt Index	B	Dividend	K	T	Buy	07/05/19	K		
55. - RAFI Fund Asia Dev	A	Dividend	J	T	Buy	10/29/19	J		
56. - GQG Emerg Mkts Eq	A	Dividend	J	T	Buy	05/15/19	J		
57. - WCM Focused Intl Equity	A	Dividend	J	T	Buy	06/10/19	J		
58. IRA Account #3 (SEI Funds) (Header)									
59. - 3M Common	A	Dividend			Sold	12/19/19	J	A	
60. - Alphabet A		None	J	T					
61. - Analog Devices	A	Dividend	J	T					
62. - Auto Zone		None	J	T					
63. - Becton Dickinson	A	Dividend	J	T					
64. - CME Group	A	Dividend	J	T					
65. - Colgate Palmolive	A	Dividend	J	T					
66. - Ecolab Inc.	A	Dividend	J	T					
67. - FactSet Research	A	Dividend	J	T					
68. - Graco Inc.	A	Dividend	J	T					

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69. - Johnson & Johnson	A	Dividend	J	T					
70. - Lindle PLC	A	Dividend	J	T					
71. - Lowe's Cos.	A	Dividend	J	T					
72. - Mastercard Inc.	A	Dividend	J	T					
73. - Mettler Toledo Intl.		None	J	T					
74. - Microsoft Corp.	A	Dividend	J	T	Buy	12/19/19	J		
75. - Middleby Corp.		None	J	T					
76. - Moody's Corp.	A	Dividend	J	T					
77. - MSCI Inc.	A	Dividend	J	T					
78. - Nike Inc.	A	Dividend	J	T					
79. - Oracle Corp.	A	Dividend	J	T					
80. - PepsiCo Inc.	A	Dividend	J	T					
81. - Sherwin Williams	A	Dividend	J	T					
82. - Tiffany & Co.	A	Dividend			Sold	12/16/19	J	A	
83. - TJX Cos.	A	Dividend	J	T					
84. - UnitedHeath Group	A	Dividend	J	T					
85. - United Technologies	A	Dividend	J	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
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N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
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E =\$15,001 - \$50,000

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86. - US Bancorp	A	Dividend	J	T					
87. - Varian Medical Systems		None	J	T					
88. - ABM Industries	A	Dividend			Sold	12/18/19	J	A	
89. - Accelaron Pharma Inc.		None	J	T	Buy	12/18/19	J		
90. - Acuity Brands	A	Dividend			Sold	04/04/19	J	A	
91. - Addus HomeCare		None	J	T					
92. - Agco	A	Dividend			Sold	09/18/19	J	A	
93. - Alaska Air Group	A	Dividend			Sold	09/18/19	J	A	
94. - Altra Industrial	A	Dividend	J	T					
95. - Amedisys Inc.		None	J	T					
96. - American Homes 4 Rent	A	Dividend	J	T	Buy	09/18/19	J		
97. - American Outdoor Brands		None			Sold	09/18/19	J	A	
98. - AO Smith Corp.	A	Dividend	J	T					
99. - Apartment Invest Mgmt.	A	Dividend	J	T	Buy	04/04/19	J		
100. - Appolo Comm Real Estate	A	Dividend	J	T	Buy	03/29/19	J		
101. - Apple Hospitality REIT Inc.	A	Dividend	J	T	Buy	03/29/19	J		
102. - Armour Residential REIT	A	Dividend			Sold	06/04/19	J	A	

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103. - Armstrong World	A	Dividend	J	T					
104. - Ashland Global Holdings	A	Dividend	J	T	Buy	06/04/19	J		
105. - Assurant Inc.	A	Dividend			Sold	03/30/19	J	A	
106. - Avery Dennison Corp.	A	Dividend	J	T	Buy	03/30/19	J		
107. - Balchem Corp	A	Dividend	J	T					
108. - Bancorp South Bank	A	Dividend	J	T					
109. - Bank United Inc.	A	Dividend	J	T	Buy	10/01/19	J		
110. - Big Lots Inc.	A	Dividend			Sold	04/16/19	J	A	
111. - Box Inc.		None	J	T	Buy	10/01/19	J		
112. - Boyd Gaming Corp.	A	Dividend	J	T	Buy	10/01/19	J		
113. - Brandywine Realty Trust	A	Dividend	J	T	Buy	06/04/19	J		
114. - Bruker Corp.	A	Dividend	J	T					
115. - Burlington Stores		None	J	T					
116. - Cactus Inc.	A	Dividend	J	T	Buy	10/01/19	J		
117. - Cadence Design		None			Sold	10/01/19	J	A	
118. - Calavo Growers	A	Dividend			Sold	10/01/19	J	A	
119. - Cantel Medical	A	Dividend	J	T					

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Hummel, Christian F.

Date of Report

06/27/2020

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. - Cathay General Bancorp	A	Dividend	J	T	Buy	12/18/19	J		
121. - Centennial Resource Dev		None			Sold	12/18/19	J	A	
122. - CF Industries Holdings	A	Dividend			Sold	12/18/19	J	A	
123. - Charles River Laboratories		None	J	T					
124. - Chemed Corp.	A	Dividend	J	T					
125. - Chemours Co.	A	Dividend	J	T	Buy	11/12/19	J		
126. - Childrens Place	A	Dividend	J	T	Buy	04/16/19	J		
127. - Chimera Investment	A	Dividend	J	T	Buy	10/01/19	J		
128. - Choice Hotels	A	Dividend	J	T					
129. - Cimpress NV		None	J	T					
130. - Cirrus Logic	A	Dividend			Sold	05/15/19	J	A	
131. - Coeur Mining		None			Sold	06/04/19	J	A	
132. - Cogent Communications	A	Dividend	J	T					
133. - Columbia Property Trust	A	Dividend	J	T	Buy	06/04/19	J		
134. - CommVault Systems		None			Sold	06/04/19	J	A	
135. - Cooper Tire	A	Dividend			Sold	06/04/19	J	A	
136. - CoreSite Realty	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		

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Name of Person Reporting

Hummel, Christian F.

Date of Report

06/27/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. - Coupa Software		None	J	T					
138. - Deckers Outdoor		None			Sold	04/04/19	J	A	
139. - Dine Brands Global	A	Dividend			Sold	04/04/19	J	A	
140. - Dorman Products		None	J	T					
141. - Dril-Quip Inc.		None			Sold	11/12/19	J	A	
142. - Dycom Industries		None	J	T	Buy	11/12/19	J		
143. - Eagle Bancorp		None			Sold	11/12/19	J	A	
144. - East Group Properties	A	Dividend			Sold	11/12/19	J	A	
145. - Element Solutions Inc.		None	J	T	Buy	11/12/19	J		
146. - Energizer Holdings	A	Dividend	J	T	Buy	10/29/19	J		
147. - EnerSys	A	Dividend	J	T	Buy	10/16/19	J		
148. - Euronet Worldwide		None			Sold	10/16/19	J	A	
149. - First American Financial	A	Dividend			Sold	04/04/19	J	A	
150. - First Financial Bancshares	A	Dividend	J	T					
151. - First Hawaiian Inc.	A	Dividend	J	T	Buy	04/04/19	J		
152. - First Interstate Bank	A	Dividend	J	T					
153. - Five Below Inc.		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
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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Name of Person Reporting

Hummel, Christian F.

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. - Flagstar Bancorp Inc.	A	Dividend	J	T	Buy	04/30/19	J		
155. - Floor & Decor Holdings		None	J	T	Buy	10/19/19	J		
156. - FNB Corp/PA	A	Dividend	J	T	Buy	10/16/19	J		
157. - Fortinet Inc.		None			Sold	06/04/19	J	A	
158. - Fox Factory Holding		None			Sold	06/04/19	J	A	
159. - FNB Corp/PA	A	Dividend	J	T	Buy	10/16/19	J		
160. - Frontier Communications		None			Sold	10/19/19	J	A	
161. - Genesco Inc.		None			Sold	10/16/19	J	A	
162. - Global Net Lease	A	Dividend	J	T	Buy	10/09/19	J		
163. - Globe Life Inc.	A	Dividend	J	T	Buy	06/04/19	J		
164. - Goodyear Tire	A	Dividend			Sold	06/04/19	J	A	
165. - Greenbrier Cos.	A	Dividend			Sold	06/04/19	J	A	
166. - Green Plains Inc.	A	Dividend			Sold	06/04/19	J	A	
167. - Hawaiian Electric	A	Dividend	J	T					
168. - Healthcare Services Group	A	Dividend			Sold	04/04/19	J	A	
169. - Health Insurance Innovations	A	Dividend			Sold	04/04/19	J	A	
170. - Helmerich & Payne	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
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Name of Person Reporting

Hummel, Christian F.

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06/27/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. - Heron Therapeutics		None	J	T	Buy	04/11/19	J		
172. - Highwoods Properties	A	Dividend	J	T	Buy	04/04/19	J		
173. - Hill-Rom Holdings	A	Dividend	J	T					
174. - HollyFrontier Corp.	A	Dividend			Sold	04/16/19	J	A	
175. - Hyatt Hotels Corp.	A	Dividend	J	T	Buy	04/16/19	J		
176. - Iberiabank Corp.	A	Dividend	J	T	Buy	06/04/19	J		
177. - Innoviva Inc.		None	J	T	Buy	06/04/19	J		
178. - Integra Life Sciences		None			Sold	06/04/19	J	A	
179. - iRhythm Technologies		None	J	T					
180. - Iron Mtn	A	Dividend			Sold	10/22/19	J	A	
181. - Jefferies Financial Group	A	Dividend	J	T	Buy	10/29/19	J		
182. - Kennametal Inc.	A	Dividend			Sold	05/15/19	J	A	
183. - Lamb Weston Holdings	A	Dividend	J	T					
184. - Lancaster Colony	A	Dividend			Sold	06/04/19	J	A	
185. - Laureate Education Inc.		None	J	T	Buy	06/04/19	J		
186. - LGI Homes Inc.	A	Dividend	J	T	Buy	10/16/19	J		
187. - Live Nation Entertainment		None			Sold	10/16/19	J	A	

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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(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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Name of Person Reporting

Hummel, Christian F.

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

188. - Manhattan Associates		None	J	T					
189. - Masonite International		None			Sold	12/18/19	J	A	
190. - MEDNAX Inc.		None	J	T	Buy	12/18/19	J		
191. - Meritage Homes Corp.		None			Sold	05/15/19	J	A	
192. - MicroStrategy Inc.		None			Sold	06/04/19	J	A	
193. - Moelis & Co.	A	Dividend			Sold	06/04/19	J	A	
194. - Monolithic Power Systems	A	Dividend	J	T					
195. - National Instruments	A	Dividend	J	T					
196. - Neogen Corp.		None	J	T					
197. - NetScout Systems Inc.			J	T	Buy	11/12/19	J		
198. - Nordstrom Inc.	A	Dividend	J	T	Buy	11/12/19	J		
199. - Nutanix Inc.		None			Sold	11/12/19	J	A	
200. - Old National Bancorp.	A	Dividend	J	T	Buy	11/05/19	J		
201. - Oxford Industries Inc.	A	Dividend	J	T	Buy	11/05/19	J		
202. - Pacira Biosciences		None	J	T	Buy	12/18/19	J		
203. - PacWest Bancorp	A	Dividend			Sold	06/04/19	J	A	
204. - Paramount Group Inc.	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
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(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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205. - Pattern Energy Group	A	Dividend			Sold	11/05/19	J	A	
206. - Patterson UTI Energy	A	Dividend			Sold	11/12/19	J	A	
207. - PBF Energy Inc.	A	Dividend	J	T	Buy	11/12/19	J		
208. - Penn National Gaming		None	J	T	Buy	12/18/19	J		
209. - People's United Financial	A	Dividend	J	T	Buy	10/29/19	J		
210. - Perkin Elmer Inc.	A	Dividend	J	T					
211. - Piedmont Office Realty	A	Dividend	J	T	Buy	06/04/19	J		
212. - Pinnacle West Capital	A	Dividend	J	T	Buy	06/04/19	J		
213. - Potlatch Deltic	A	Dividend	J	T					
214. - Power Integrations	A	Dividend			Sold	10/29/19	J	A	
215. - Premier Inc.		None	J	T	Buy	10/29/19	J		
216. - ProAssurance Corp.	A	Dividend	J	T	Buy	06/04/19	J		
217. - Progress Software	A	Dividend	J	T					
218. - ProPetro Holding		None			Sold	04/04/19	J	A	
219. - Prosperity Bancshares	A	Dividend	J	T					
220. - PS Business parks	A	Dividend			Sold	06/04/19	J	A	
221. - Pulte Group	A	Dividend			Sold	06/04/19	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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222. - Pure Storage Inc.		None	J	T	Buy	10/22/19	J		
223. - Qiagen Nv Shares		None			Sold	10/22/19	J	A	
224. - QTS Realty Trust	A	Dividend			Sold	10/29/19	J	A	
225. - Ralph Lauren Corp.	A	Dividend			Sold	06/04/19	J	A	
226. - Redfin Corp.		None			Sold	04/30/19	J	A	
227. - Reinsurance Group of America	A	Dividend			Sold	04/30/19	J	A	
228. - RE/MAX Holdings	A	Dividend			Sold	06/04/19	J	A	
229. - Renewable Energy Group		None	J	T	Buy	06/04/19	J		
230. - Rollins Inc.	A	Dividend	J	T					
231. - Royal Gold	A	Dividend			Sold	04/30/19	J	A	
232. - Schnitzer Steel	A	Dividend			Sold	04/30/19	J	A	
233. - Sealed Air Corp	A	Dividend	J	T					
234. - Seattle Genetics		None	J	T					
235. - Simpson Manufacturing	A	Dividend	J	T	Buy	09/18/19	J		
236. - SiteOne Landscape Supply		None	J	T	Buy	09/18/19	J		
237. - South State Corp.	A	Dividend	J	T	Buy	06/04/19	J		
238. - Spirit AeroSystems		None			Sold	06/04/19	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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Name of Person Reporting

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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239. - Spirit Realty Capital	A	Dividend	J	T	Buy	09/18/19	J		
240. - SPS Commerce		None	J	T					
241. - Steris PLC	A	Dividend	J	T					
242. - Tempur Sealy		None			Sold	05/15/19	J	A	
243. - Teradyne Inc.	A	Dividend			Sold	10/01/19	J	A	
244. - Texas Roadhouse	A	Dividend	J	T					
245. - Toll Brothers Inc.	A	Dividend	J	T	Buy	12/18/19	J		
246. - Torchmark	A	Dividend			Sold	12/18/19	J	A	
247. - Trimble Inc.		None	J	T					
248. - Trip Advisor		None			Sold	04/30/19	J	A	
249. - Trustmark Corp.	A	Dividend	J	T					
250. - Two Harbors Investment Corp.	A	Dividend			Sold	06/04/19	J	A	
251. - UMB Financial Corp.	A	Dividend	J	T	Buy	03/04/19	J		
252. - Umpqua Holdings Corp.	A	Dividend	J	T	Buy	03/04/19	J		
253. - United Bancshares Inc/WV	A	Dividend	J	T	Buy	04/30/19	J		
254. - United Natural Foods		None	J	T	Buy	06/04/19	J		
255. - United Therapeutics		None			Sold	10/01/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

Hummel, Christian F.

Date of Report

06/27/2020

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)
256. - Univar Solutions Inc.		None	J	T	Buy	10/01/19	J		
257. - Universal Corp	A	Dividend			Sold	10/01/19	J	A	
258. - Urban Outfitters Inc.		None	J	T	Buy	10/01/19	J		
259. - US Physical Therapy	A	Dividend	J	T					
260. - Valmont Industries Inc.	A	Dividend	J	T	Buy	04/04/19	J		
261. - Varonis Systems		None	J	T					
262. - Waddell & Reed	A	Dividend			Sold	04/04/19	J	A	
263. - Warrior Met Coal Inc.	A	Dividend	J	T	Buy	06/04/19	J		
264. - Washington Federal Inc.	A	Dividend	J	T	Buy	06/04/19	J		
265. - Watts Water Technologies	A	Dividend	J	T					
266. - West Pharmaceuticals	A	Dividend	J	T					
267. - Wingstop Inc.	A	Dividend			Sold	10/29/19	J	A	
268. - Wyndham Hotels & Resorts	A	Dividend	J	T	Buy	04/16/19	J		
269. - Yelp Inc.		None	J	T	Buy	12/05/19	J		
270. - Yext Inc.		None			Sold	04/04/19	J	A	
271. - Zendesk Inc.		None	J	T	Buy	04/04/19	J		
272. - Zions Bancorp	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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. - Aberdeen Global Dynamic	A	Dividend	J	T					
274. - Aberdeen Global Premier Properties	A	Dividend	J	T					
275. - Aberdeen Toatl Dynamic Dividends	A	Dividend	J	T					
276. - Advent Claymore Conv Sec	A	Dividend	J	T					
277. - AllianzGI Equity & Conv	A	Dividend	J	T					
278. - AllianzGI Nfj Dividend Int	A	Dividend	J	T					
279. - Apollo Senior Floating Rate	A	Dividend	J	T					
280. - Black Rock Credit Allocation	B	Dividend	J	T					
281. - Balck Rock Debt Strategies	A	Dividend	J	T					
282. - Blackrock Resources & Commodities	A	Dividend	J	T					
283. - Brandywine Global Income	A	Dividend	J	T					
284. - CBRE Clarion Global RE	A	Dividend	J	T					
285. - Clough Global Equity	A	Dividend	J	T	Buy	08/13/19	J		
286. - Duff & Phelps Global Utility	A	Dividend	J	T					
287. - General American Investors	A	Dividend	J	T					
288. - John Hancock Tax-Adv Dividend	A	Dividend			Sold	08/06/19	J	A	
289. - Nuveen Real Asset	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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. - Pgim Glb Sht Duration Hi Yield	A	Dividend	J	T					
291. - Pgim Short Duration Hi Yield	A	Dividend	J	T					
292. - River North Double Line Strategic Opp	A	Dividend	J	T					
293. - Royce Micro Cap	A	Dividend	J	T					
294. - Royce Value Trust	A	Dividend	J	T					
295. - Tri-Continental Corp.	A	Dividend	J	T					
296. - Wells Fargo Global Div	A	Dividend	J	T					
297. - AGNC Investment Corp.	A	Dividend	J	T					
298. - Akamai Technologies		None			Sold	11/12/19	J	A	
299. - Altria Group Inc.	A	Dividend	J	T					
300. - Ameren Corp.	A	Dividend	J	T					
301. - American Financial Group	A	Dividend			Sold	04/30/19	J	A	
302. - Amerisource Bergen	A	Dividend	J	T					
303. - Annaly Capital Management	A	Dividend			Sold	05/10/19	J	A	
304. - Anthem Inc.	A	Dividend	J	T					
305. - Apple Hospitality REIT	A	Dividend	J	T					
306. - Archer Daniels Midland	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		

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307. - A T & T Inc.	A	Dividend	J	T					
308. - Baxter International	A	Dividend	J	T					
309. - Bio-Rad Laboratories	A	Dividend			Sold	06/04/19	J	A	
310. - Bio Techne Corp.	A	Dividend			Sold	09/30/19	J	A	
311. - Bristol Myers Squibb	A	Dividend	J	T	Buy	11/12/19	J		
312. - Brixmor Property Group	A	Dividend	J	T	Buy	11/12/19	J		
313. - Broadridge Financial	A	Dividend			Sold	11/05/19	J	A	
314. - Cardinal Health	A	Dividend	J	T					
315. - Center Point Energy	A	Dividend	J	T					
316. - Chemed Corp.	A	Dividend	J	T					
317. - Chimera Investment	A	Dividend	J	T					
318. - Church & Dwight Inc.	A	Dividend	J	T					
319. - Cigna Corp.	A	Dividend	J	T					
320. - Clorox Co.	A	Dividend	J	T					
321. - Colgate Palmolive	A	Dividend	J	T					
322. - ConAgra Foods	A	Dividend			Sold	06/04/19	J	A	
323. - Consolidated Edison	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

Hummel, Christian F.

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06/27/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
324. - Corporate Office Properties Trust	A	Dividend	J	T	Buy	11/12/19	J		
325. - Darden Restaurants	A	Dividend			Sold	11/12/19	J	A	
326. - Davita Inc.		None	J	T					
327. - DTE Energy Co.	A	Dividend	J	T					
328. - Eli Lilly & Co.	A	Dividend	J	T					
329. - Encompass Health Corp.	A	Dividend	J	T	Buy	06/04/19	J		
330. - Energizer Holdings Inc.	A	Dividend			Sold	06/04/19	J	A	
331. - Entergy Corp.	A	Dividend	J	T					
332. - Equity Commonwealth		None	J	T					
333. - Evergy Inc.	A	Dividend	J	T					
334. - Exelon Corp.	A	Dividend	J	T					
335. - Flowers Foods Inc.	A	Dividend	J	T					
336. - Gaming and Leisure Properties	A	Dividend	J	T	Buy	05/03/19	J		
337. - General Mills Inc.	A	Dividend	J	T	Buy	05/10/19	J		
338. - Globe Life Inc.	A	Dividend	J	T	Buy	05/10/19	J		
339. - Henry Schein Inc.		None	J	T					
340. - Hershey Co.	A	Dividend	J	T	Buy	05/10/19	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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06/27/2020

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)
341. - Hill-Rom Holdings	A	Dividend	J	T					
342. - Hospitality Properties	A	Dividend			Sold	06/04/19	J	A	
343. - H & R Block	A	Dividend	J	T					
344. - Humana Inc.	A	Dividend	J	T					
345. - Ingredion Corp.	A	Dividend	J	T					
346. - Jack Henry & Assoc.	A	Dividend			Sold	05/10/19	J	A	
347. - JM Smucker Co.	A	Dividend	J	T					
348. - Johnson & Johnson	A	Dividend	J	T					
349. - Kelleogg Co.	A	Dividend	J	T					
350. - Kimberly-Clark Corp.	A	Dividend	J	T					
351. - Laboratory Corp of America		None	J	T					
352. - Lamb Weston Holdings	A	Dividend	J	T					
353. - Leidos Holdings Inc.	A	Dividend	J	T					
354. - McCormick & Co.	A	Dividend	J	T					
355. - McKesson Corp.	A	Dividend	J	T					
356. - MDU Resources Group	A	Dividend	J	T					
357. - Medical Properties Trust	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

Hummel, Christian F.

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06/27/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. - MEDNAX Inc.		None			Sold	07/31/19	J	A	
359. - Merck & Co.	A	Dividend	J	T					
360. - MFA Financial	A	Dividend	J	T					
361. - MGIC Investment Corp.	A	Dividend	J	T	Buy	11/12/19	J		
362. -- National Fuel Gas Co.	A	Dividend	J	T	Buy	05/10/19	J		
363. - New Residential	A	Dividend	J	T					
364. - New York Community Bancorp	A	Dividend	J	T					
365. - OGE Energy Corp	A	Dividend	J	T					
366. - Park Hotels & Resorts	A	Dividend	J	T					
367. - PepsiCo Inc.	A	Dividend	J	T	Buy	07/31/19	J		
368. -Pfizer Inc.	A	Dividend	J	T					
369. - Philip Morris	A	Dividend	J	T					
370. - PNC Financial	A	Dividend			Sold	07/17/19	J	A	
371. - Premier Inc.		None	J	T					
372. - Proctor & Gamble Co.	A	Dividend	J	T	Buy	03/04/19	J		
373. - Public Service Enterprise Grp	A	Dividend	J	T					
374. - Quest Diagnostics	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375. - Realogy Holdings	A	Dividend			Sold	06/04/19	J	A	
376. - Reinsurance Group of America	A	Dividend	J	T					
377. - Reliance Steel & Aluminum	A	Dividend	J	T	Buy	11/12/19	J		
378. - Robert Half Intl	A	Dividend			Sold	11/12/19	J	A	
379. - Service Properties Trust	A	Dividend	J	T	Buy	04/04/19	J		
380. - Silgan Holdings	A	Dividend	J	T					
381. - Southern Corp.	A	Dividend	J	T	Buy	11/12/19	J		
382. - TCF Financial Corp	A	Dividend			Sold	10/29/19	J	A	
383. - Telephone & Data Systems	A	Dividend			Sold	11/12/19	J	A	
384. - Torchmark Corp.	A	Dividend			Sold	08/30/19	J	A	
385. - Total Systems	A	Dividend			Sold	08/09/19	J	A	
386. - Two Harbors	A	Dividend	J	T					
387. - Tyson Foods Inc.	A	Dividend	J	T					
388. - Universal Health Services	A	Dividend	J	T	Buy	08/09/19	J		
389. - Unum Group	A	Dividend	J	T					
390. - Varian Medical Systems		None	J	T					
391. - Vectren Corp	A	Dividend			Sold	04/04/19	J	A	

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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06/27/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392. - VEREIT Inc.	A	Dividend	J	T	Buy	04/04/19	J		
393. - Verizon Communications	A	Dividend	J	T	Buy	05/10/19	J		
394. - WellCare Health Plans		None			Sold	05/10/19	J	A	
395. - Wyndham Destinations	A	Dividend	J	T					
396. - Xcel Energy	A	Dividend	J	T					
397. - Zoetis Inc.	A	Dividend	J	T					
398. - Vermilion Energy Inc.	A	Dividend			Sold	03/25/19	J	A	
399. - Assured Guaranty Ltd.	A	Dividend			Sold	03/11/19	J	A	
400. - Allegion PLC	A	Dividend	J	T	Buy	08/30/19	J		
401. - Genpact Ltd.	A	Dividend	J	T	Buy	06/04/19	J		
402. - Pentair PLC	A	Dividend	J	T					
403. - Perrigo Co Ltd	A	Dividend	J	T	Buy	12/18/19	J		
404. - Black Rock Enhanced Global Div	A	Dividend	J	T					
405. - Black Rock Enhanced Intl Div	A	Dividend	J	T					
406. - Clough Global Opportunities	A	Dividend	J	T					
407. - Amdocs Ltd.	A	Dividend	J	T					
408. - Arch Capital Group		None	J	T	Buy	11/12/19	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409. - Bunge Ltd.	A	Dividend	J	T	Buy	11/12/19	J		
410. - Jazz Pharmaceuticals PLC		None	J	T	Buy	11/12/19	J		
411. - Popular Inc.	A	Dividend	J	T	Buy	11/05/19	J		
412. - RenaissanceRe Holdings Ltd	A	Dividend	J	T	Buy	11/12/19	J		
413. - ABB Ltd ADR	A	Dividend	J	T					
414. - Allianz SE	A	Dividend	J	T					
415. - ASE Technology		None	J	T					
416. - Astazeneca ADR	A	Dividend	J	T					
417. - BAE Systems	A	Dividend	J	T					
418. - BCE Inc.	A	Dividend	J	T					
419. - BNP Paribas	A	Dividend	J	T					
420. - BOC Hong Kong	A	Dividend	J	T					
421. - British American Tobacco	A	Dividend	J	T					
422. - China Petroleum	A	Dividend	J	T					
423. - Cie Generale des Etablissements	A	Dividend	J	T					
424. - Daimler AG	A	Dividend			Sold	11/19/19	J	A	
425. - Deutsche Telecom	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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426. - Diageo ADR	A	Dividend	J	T					
427. - Engie SA	A	Dividend	J	T					
428. - GlaxoSmithKline	A	Dividend	J	T					
429. - Honda Motors	A	Dividend			Sold	11/19/19	J	A	
430. - HSBC Holdings	A	Dividend	J	T					
431. - Iberdrola SA	A	Dividend	J	T	Buy	11/12/19	J		
432. - Imperial Brands	A	Dividend	J	T					
433. - Lloyds Banking	A	Dividend	J	T					
434. - Manulife Financial	A	Dividend	J	T					
435. - MMC Norlisk Nickel	A	Dividend	J	T					
436. - Muenchener Reukversicherungs	A	Dividend	J	T					
437. - Nestle SA Spon ADR	A	Dividend	J	T					
438. - Nippon Tel & Tel	A	Dividend	J	T					
439. - NN Group NV	A	Dividend	J	T					
440. - Novartis AG ADR	A	Dividend	J	T					
441. - Orkla ASA	A	Dividend	J	T					
442. - ProSiebenSat	A	Dividend			Sold	11/05/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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Name of Person Reporting

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
443. - Roche Holdings	A	Dividend	J	T					
444. - Royal Dutch Shell	A	Dividend	J	T					
445. - Sanofi - Aventis	A	Dividend	J	T					
446. - Siemens AG ADR	A	Dividend	J	T					
447. - Singapore Telecommunications	A	Dividend	J	T					
448. - Smiths Group PLC	A	Dividend	J	T					
449. - Smurfit Kappa Group	A	Dividend	J	T					
450. - Sonic Healthcare Ltd.	A	Dividend	J	T					
451. - SSE PLC	A	Dividend			Sold	10/03/19	J	A	
452. - Telefonica Brasil	A	Dividend	J	T					
453. - Total ADR Each Rep	A	Dividend	J	T					
454. - Toyota Motor	A	Dividend	J	T	Buy	10/03/19	J		
455. - UBS Group	A	Dividend	J	T					
456. - Unilever NV	A	Dividend	J	T					
457. - United Overseas Bank	A	Dividend	J	T					
458. - UPM-Kymmene Oyj		None	J	T	Buy	10/03/19	J		
459. - Vodaphone Group	A	Dividend			Sold	05/31/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
460. - Zurich Insurance Group	A	Dividend	J	T					
461. - Alliance Bernstein Glo Hi Income	A	Dividend	J	T	Buy	07/17/19	J		
462. - Apollo Tactical Income	A	Dividend	J	T					
463. - Ares Dynamic Credit Allocation	A	Dividend	J	T					
464. - Black Rock Core Bond Trust	A	Dividend	J	T					
465. - Black Rock Corporate HI Yield	A	Dividend	J	T					
466. - Blackrock Floating Rate	A	Dividend	J	T	Buy	07/17/19	J		
467. - Blackrock Income Trust	A	Dividend			Sold	09/17/19	J	A	
468. - Blackrock Taxable Municipal	A	Dividend			Sold	09/03/19	J	A	
469. - Boulder Growth & Income	A	Dividend	J	T					
470. - Cohen & Steers Ltd. Duration Pref	A	Dividend			Sold	09/03/19	J	A	
471. - Cohen & Steers REIT	A	Dividend	J	T					
472. - Eaton Vance Floating Rate	A	Dividend	J	T	Buy	09/17/19	J		
473. - Eaton Vance Ltd Duration	A	Dividend	J	T					
474. - Eaton Vance Senior Floating Rate	A	Dividend	J	T	Buy	10/04/19	J		
475. - First Trust High Income	A	Dividend	J	T					
476. - First Trust Interm Duration	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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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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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
477. - MFS Charter Income	A	Dividend	J	T					
478. - MFS Intermed Income	A	Dividend	J	T					
479. - MFS Multimarket Income	A	Dividend	J	T					
480. - Nuveen Credit Strategies	A	Dividend	J	T					
481. - Nuveen Floating Rate	A	Dividend	J	T	Buy	06/04/19	J		
482. - Nuveen Global High Income	A	Dividend	J	T					
483. - Nuveen Pref and Income Opp	A	Dividend	J	T					
484. - Nuveen Pref & Inc Securities	A	Dividend			Sold	06/04/19	J	A	
485. - Nuveen Pref & Income Term Fund	A	Dividend			Sold	05/16/19	J	A	
486. - Nuveen Real Estate Fund	A	Dividend			Sold	05/16/19	J	A	
487. - Putnam Master Income	A	Dividend			Sold	08/13/19	J	A	
488. - Templeton Global	A	Dividend	J	T					
489. - Voya Prime Rate Trust Shs	A	Dividend	J	T	Buy	08/13/19	J		
490. - Wells Fargo Income Opp	A	Dividend	J	T					
491. - Western Asset Emerging Markets Debt	A	Dividend	J	T					
492. - Western Asset Global Corporate	A	Dividend	J	T					
493. - Western Asset Global High Income	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	
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
494. - Western Asset High Yield	A	Dividend	J	T					
495. - Western Asset High Income II	A	Dividend	J	T					
496. - Western Asset High Income Opp	A	Dividend	J	T					
497. - Western Income Inflation-Linked Opp	A	Dividend	J	T	Buy	07/17/19	J		
498. - AmEx Credit Corp. 2.25%	A	Interest			Sold	07/31/19	J	A	
499. - Anheuser Busch InBev 4.75%	A	Interest	J	T	Buy	10/01/19	J		
500. - Apple Inc. 1.55%	A	Interest	J	T					
501. - Astrazeneca PLC 2.375%	A	Interest	J	T					
502. - AT&T Inc. 3.875%	A	Interest	J	T					
503. - Bank of America Corp 3.3%	A	Interest	J	T					
504. - Berkshire Hatahaway Finance 4.25%	A	Interest	J	T					
505. - Chevron Corp. 2.355%	A	Interest	J	T	Buy	06/07/19	J		
506. - Cisco Systems 3.625%	A	Interest	J	T					
507. - Citigroup Inc. 3.75%	A	Interest	J	T					
508. - Coca Cola Co. 3.2%	A	Interest	J	T					
509. - ConocoPhillips 6.95%	A	Interest	J	T	Buy	06/04/19	J		
510. - Enterprise Products Operating 3.125%	A	Interest	J	T	Buy	06/04/19	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.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
511. - Comcast Corp 3.15%	A	Interest	J	T					
512. - Exxon Mobil Cpr. 3.043%	A	Interest	J	T					
513. - General Electric 2.3%	A	Interest			Sold	06/07/19	J	A	
514. - Glied Sciences 2.95%	A	Interest	J	T					
515. - Goldman Sachs 3.5%	A	Interest	J	T					
516. - Intel Corp 2.7%	A	Interest	J	T					
517. - IBM Corp 3.625%	A	Interest	J	T					
518. - JP Morgan Chase 3.125%	A	Interest	J	T					
519. - Lowe's Cos. 2.5%	A	Interest	J	T					
520. - Lowe's Cos. 3.12%	A	Interest	J	T					
521. - Microsoft Corp 3.3%	A	Interest	J	T	Buy	08/27/19	J		
522. - Morgan Stanley 2.125%	A	Interest	J	T					
523. - Northrup Grumman 3.25%	A	Interest	J	T					
524. - PepsiCo Inc. 2.375%	A	Interest	J	T					
525. - Pfizer Inc. 3%	A	Interest	J	T					
526. - Shell Intl 3.25%	A	Interest	J	T					
527. - TCI Comm 7.875%	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
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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
528. - Toyota Motor Credit 2.1%	A	Interest			Sold	08/14/19	J	A	
529. - TWDC Enterprises 18 Corp 2.75%	A	Interest	J	T	Buy	08/15/19	J		
530. - Walmart Inc. 5.875%	A	Interest	J	T					
531. - Walt Disney 2.75%	A	Interest			Sold	08/23/19	J	A	
532. - Wells Fargo 2.15%	A	Interest	J	T					
533. - BHP Billiton 3.85%	A	Interest	J	T					
534. - BP Capital Markets 3.245%	A	Interest	J	T					
535. - Government Fund SEOXX	A	Interest	J	T					
536. New York State 529 College Savings Plan #1 (header)									
537. - JP Morgan Agressive Age-Based Portfolio	A	Int./Div.	K	T					
538. New York State 529 College Savings Plan #2 (header)									
539. - JP Morgan Moderate Age-Based Portfolio	A	Int./Div.	J	T					
540. Nationwide Universal Life (Header)									
541. - Fixed Interest Strategy	A	Interest	J	T	Buy	01/18/19	J		
542. - 1-Yr. S&P 500 Pnt to Pnt	A	Dividend	J	T	Buy	01/18/19	J		
543.									
544.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
545.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting Hummel, Christian F.	Date of Report 06/27/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Hummel, Christian F.

Date of Report

06/27/2020

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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Washington, D.C. 20544