

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Hummel, Christian F.	2. Court or Organization United States District Court N.Y. Northern District	3. Date of Report 07/02/2021
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 01/01/2020 to 12/31/2020
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. 2020	New York State Retirement System, currently receiving pension
2.	
3.	

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

☐ NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	State University of New York Wages	\$1,146.60
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)

☒ NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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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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)
1. Key Bank	A	Interest	M	T					
2. S.E.F.C.U. Account	A	Interest	K	T					
3. Capital One Bank (Savings)	A	Interest	K	T					
4. Trustco Bank Account	A	Interest	L	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.			Sold	10/30/20	L	D	
11. - SunAmerica Dynamic Strategy	C	Int./Div.			Sold	10/30/20	L	D	
12. - Secure Value Account SA American Funds Fixed Interest	B	Int./Div.			Sold	10/30/20	K	B	
13. Brokerage Account #1 (Header)									
14. - SEI Large Cap Growth	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
15. - SEI Large Cap Value	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
16. - SEI Sm Cap Growth	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
17. - SEI Sm Cap Value	A	Int./Div.	J	T	Sold (part)	04/13/20	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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18. - SEI Intl Equity	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
19. - SEI Emerging Markets Equity	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
20. - SEI Core Fixed Income	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
21. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
22. - SEI Intl Fixed Income	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
23. - SEI Emerging Markets Debt	A	Int./Div.	J	T	Sold (part)	04/06/20	J	A	
24. - SEI Government Fund	A	Int./Div.	J	T					
25. Legg Mason Global Asset (Roth IRA) (Header)									
26. - Legg Mason Lifestyle / Moderate Allocation	A	Int./Div.	J	T					
27. IRA Account #2 (Madison/SEI) (Header)									
28. - SEI Large Cap	C	Int./Div.			Sold	06/25/20	M	B	
29. - SEI Small Cap	B	Int./Div.			Sold	06/25/20	K	B	
30. - SEI Intl Equity	A	Int./Div.			Sold	06/25/20	K	B	
31. - SEI Emerging Markets Equity	A	Int./Div.			Sold	06/25/20	K	B	
32. - SEI Hi Yield Bond	B	Int./Div.			Sold	06/25/20	K	C	
33. - SEI Emerging Markets Debt	A	Int./Div.			Sold	06/25/20	J	B	
34. - SEI Dynamic Asset	A	Int./Div.			Sold	06/25/20	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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35. - SEI Multi-Asset	B	Int./Div.			Sold	06/25/20	K	C	
36. - SEI Core Fixed Income Fund	A	Interest			Sold	06/25/20	J	A	
37. - SEI Government Fund	A	Int./Div.	K	T					
38. - Total Bond Market ETF	B	Interest			Sold	06/29/20	L	B	
39. - FTSE Developed Markets	B	Int./Div.	L	T	Buy (add'l)	11/11/20	K		
40.					Buy (add'l)	06/29/20	K		
41. - Invesco S&P 500 Equal Weight	A	Int./Div.	J	T	Buy	12/18/20	J		
42. - Invesco Senior Loan ETF	A	Int./Div.	J	T	Buy	11/11/20	J		
43. - Van Eck Vectors JPM Loc Curr Bond	B	Int./Div.	J	T	Buy	06/29/20	J		
44.					Buy (add'l)	11/11/20	J		
45. - Vanguard S-T Inflation Protected Sec	B	Int./Div.	K	T	Buy	06/29/20	J		
46.					Buy (add'l)	11/11/20	K		
47. - Schwab US Large Cap	B	Int./Div.	M	T	Buy	06/29/20	K		
48.					Sold (part)	12/18/20	K	B	
49. - Schwab US Small Cap	A	Int./Div.	K	T	Buy	06/29/20	J		
50. - Vanguard FTSE Emerging Markets ETF	A	Int./Div.	K	T	Buy	06/29/20	J		
51. - JP Morgan USD Emerging Markets Bond	A	Int./Div.	J	T	Buy	06/29/20	J		

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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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52. - SPDR Bloomberg Barclays HY Bond	A	Int./Div.			Buy	06/29/20	J		
53.					Sold	08/19/20	J	A	
54. - Vanguard Total Bond Market ETF	B	Int./Div.	L	T	Buy	06/29/20	L		
55. - Xtrackers USD HY Corp Bond ETF	A	Int./Div.	K	T	Buy	08/19/20	J		
56. Jackson National Life Annuity (IRA) (Header)									
57. - PPM America Total Return	A	Int./Div.	K	T					
58. - Vanguard US StkMktIndx	C	Int./Div.	L	T					
59. - Double Line CAPE	B	Int./Div.	K	T					
60. - Morningstar Wide Moat	A	Int./Div.	K	T					
61. - AQR Large Cap Rlxd CnstEq	A	Int./Div.			Sold	08/04/20	K	B	
62. - AQR LgCap Def Style	A	Int./Div.	K	T	Buy	08/04/20	K		
63. - JP Morgan US Govt	B	Int./Div.	K	T					
64. - MC Equity Income	A	Int./Div.	K	T					
65. - MC Real Estate Sector	A	Dividend	K	T					
66. - T Rowe Price Est Growth	A	Dividend	J	T					
67. - Vanguard Intl Stk Mkt Index	B	Dividend	L	T					
68. - RAFI Fund Asia Dev	A	Dividend	K	T					

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69. - GQG Emerg Mkts Eq	A	Dividend	K	T					
70. - WCM Focused Intl Equity	A	Dividend	K	T					
71. IRA Account #3 (SEI/Madison) (Header)									
72. - Alphabet A		None	J	T	Buy (add'l)	08/25/20	J		
73. - Analog Devices	A	Dividend	J	T					
74. - Auto Zone		None	J	T					
75. - Becton Dickinson	A	Dividend	J	T					
76. - CME Group	A	Dividend	J	T					
77. - Colgate Palmolive	A	Dividend	J	T					
78. - Ecolab Inc.	A	Dividend	J	T					
79. - FactSet Research	A	Dividend	J	T					
80. - Graco Inc.	A	Dividend	J	T					
81. - Johnson & Johnson	A	Dividend	J	T					
82. - Lindle PLC	A	Dividend	J	T					
83. - Lowe's Cos.	A	Dividend	J	T					
84. - Mastercard Inc.	A	Dividend	J	T					
85. - Mettler Toledo Intl.		None	J	T					

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3 Value Method Codes (See Column C2)					

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86. - Microsoft Corp.	A	Dividend	J	T					
87. - Middleby Corp.		None	J	T					
88. - Moody's Corp.	A	Dividend	J	T					
89. - MSCI Inc.	A	Dividend	J	T					
90. - Nike Inc.	A	Dividend	J	T					
91. - Oracle Corp.	A	Dividend	J	T					
92. - PepsiCo Inc.	A	Dividend	J	T					
93. - Sherwin Williams	A	Dividend	J	T					
94. - TJX Cos.	A	Dividend	J	T					
95. - UnitedHeath Group	A	Dividend	J	T					
96. - United Technologies	A	Dividend			Sold	07/08/20	J	A	
97. - US Bancorp	A	Dividend	J	T					
98. - Varian Medical Systems		None	J	T	Sold (part)	08/25/20	J	A	
99. - Acceleron Pharma Inc.		None			Sold	07/08/20	J	A	
100. - Addus HomeCare		None	J	T					
101. - Altra Industrial	A	Dividend			Sold	07/08/20	J	A	
102. - Amedisys Inc.		None	J	T					

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103. - American Homes 4 Rent	A	Dividend			Buy (add'l)	07/23/20	J		
104.					Sold	12/09/20	J	A	
105. - AO Smith Corp.	A	Dividend			Sold	11/24/20	J	A	
106. - Apartment Invest Mgmt.	A	Dividend			Sold	07/08/20	J	A	
107. - Appolo Comm Real Estate	A	Dividend			Sold	07/08/20	J	A	
108. - Apple Hospitality REIT Inc.	A	Dividend			Sold	07/08/20	J	A	
109. - Armstrong World	A	Dividend			Sold	07/08/20	J	A	
110. - Ashland Global Holdings	A	Dividend			Sold	09/16/20	J	A	
111. - Avery Dennison Corp.	A	Dividend	J	T					
112. - Balchem Corp	A	Dividend			Sold	07/08/20	J	A	
113. - Bancorp South Bank	A	Dividend			Sold	07/08/20	J	A	
114. - Bank United Inc.	A	Dividend			Sold	07/08/20	J	A	
115. - Box Inc.		None			Sold	07/08/20	J	A	
116. - Boyd Gaming Corp.	A	Dividend			Sold	12/09/20	J	A	
117. - Brandywine Realty Trust	A	Dividend			Sold	07/08/20	J	A	
118. - Bruker Corp.	A	Dividend	J	T					
119. - Burlington Stores		None			Sold	07/08/20	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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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)
120. - Cactus Inc.	A	Dividend	J	T					
121. - Cantel Medical	A	Dividend			Sold	07/08/20	J	A	
122. - Cathay General Bancorp	A	Dividend			Sold	07/08/20	J	A	
123. - Charles River Laboratories		None			Sold	12/09/20	J	A	
124. - Chemed Corp.	A	Dividend	J	T					
125. - Chemours Co.	A	Dividend	J	T	Buy (add'l)	08/04/20	J		
126. - Childrens Place	A	Dividend	J	T	Buy (add'l)	09/16/20	J		
127. - Chimera Investment	A	Dividend			Sold	07/08/20	J	A	
128. - Choice Hotels	A	Dividend	J	T					
129. - Cimpress NV		None			Sold	07/08/20	J	A	
130. - Cogent Communications	A	Dividend	J	T					
131. - Columbia Property Trust	A	Dividend			Sold	07/08/20	J	A	
132. - CoreSite Realty	A	Dividend			Sold	10/27/20	J	A	
133. - Coupa Software		None	J	T	Sold (part)	07/08/20	J	A	
134.					Sold (part)	07/23/20	J	A	
135. - Dorman Products		None			Sold	07/08/20	J	A	
136. - Dycom Industries		None			Sold	07/08/20	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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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. - Element Solutions Inc.		None	J	T					
138. - Energizer Holdings	A	Dividend			Sold	07/08/20	J	A	
139. - EnerSys	A	Dividend	J	T					
140. - First Financial Bancshares	A	Dividend			Sold	07/08/20	J	A	
141. - First Hawaiian Inc.	A	Dividend			Sold	07/08/20	J	A	
142. - First Interstate Bank	A	Dividend			Sold	07/08/20	J	A	
143. - Five Below Inc.		None	J	T					
144. - Flagstar Bancorp Inc.	A	Dividend	J	T					
145. - Floor & Decor Holdings		None	J	T					
146. - FNB Corp/PA	A	Dividend			Sold	07/08/20	J	A	
147. - FNB Corp/PA	A	Dividend			Sold	07/08/20	J	A	
148. - Global Net Lease	A	Dividend	J	T					
149. - Globe Life Inc.	A	Dividend	J	T					
150. - Hawaiian Electric	A	Dividend	J	T					
151. - Helmerich & Payne	A	Dividend			Sold	07/08/20	J	A	
152. - Heron Therapeutics		None			Sold	07/08/20	J	A	
153. - Highwoods Properties	A	Dividend			Sold	07/08/20	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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. - Hill-Rom Holdings	A	Dividend			Sold	10/14/20	J	A	
155. - Hyatt Hotels Corp.	A	Dividend	J	T					
156. - Iberiabank Corp.	A	Dividend			Sold	07/08/20	J	A	
157. - Innoviva Inc.		None			Sold	07/08/20	J	A	
158. - iRhythm Technologies		None			Sold	09/01/20	J	A	
159. - Jefferies Financial Group	A	Dividend			Sold	07/08/20	J	A	
160. - Lamb Weston Holdings	A	Dividend	J	T					
161. - Laureate Education Inc.		None			Sold	07/08/20	J	A	
162. - LGI Homes Inc.	A	Dividend			Sold	07/08/20	J	A	
163. - Manhattan Associates		None			Sold	11/24/20	J	A	
164. - MEDNAX Inc.		None			Sold	07/08/20	J	A	
165. - Monolithic Power Systems	A	Dividend			Sold	07/08/20	J	A	
166. - National Instruments	A	Dividend			Sold	07/08/20	J	A	
167. - Neogen Corp.		None	J	T					
168. - NetScout Systems Inc.					Sold	07/08/20	J	A	
169. - Nordstrom Inc.	A	Dividend			Sold	07/08/20	J	A	
170. - Old National Bancorp.	A	Dividend			Sold	07/08/20	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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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)
171. - Oxford Industries Inc.	A	Dividend	J	T					
172. - Pacira Biosciences		None	J	T					
173. - Paramount Group Inc.	A	Dividend			Sold	07/08/20	J	A	
174. - PBF Energy Inc.	A	Dividend			Sold	07/08/20	J	A	
175. - Penn National Gaming		None	J	T					
176. - People's United Financial	A	Dividend			Sold	07/08/20	J	A	
177. - Perkin Elmer Inc.	A	Dividend	J	T	Buy (add'l)	09/08/20	J		
178.					Sold (part)	11/24/20	J	A	
179. - Piedmont Office Realty	A	Dividend			Sold	07/08/20	J	A	
180. - Pinnacle West Capital	A	Dividend			Sold	07/08/20	J	A	
181. - Potlatch Deltic	A	Dividend			Sold	07/08/20	J	A	
182. - Premier Inc.		None	J	T					
183. - ProAssurance Corp.	A	Dividend			Sold	07/08/20	J	A	
184. - Progress Software	A	Dividend			Sold	07/08/20	J	A	
185. - Prosperity Bancshares	A	Dividend			Sold	07/08/20	J	A	
186. - Pure Storage Inc.		None			Sold	07/08/20	J	A	
187. - Renewable Energy Group		None			Sold	07/08/20	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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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) 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. - Rollins Inc.	A	Dividend	J	T	Sold (part)	11/24/20	J	A	
189.					Sold (part)	12/09/20	J	A	
190. - Sealed Air Corp	A	Dividend			Sold	07/08/20	J	A	
191. - Seattle Genetics		None	J	T	Sold (part)	07/08/20	J	A	
192.					Sold (part)	07/23/20	J	A	
193. - Simpson Manufacturing	A	Dividend			Sold	07/08/20	J	A	
194. - SiteOne Landscape Supply		None	J	T					
195. - South State Corp.	A	Dividend			Sold	07/08/20	J	A	
196. - Spirit Realty Capital	A	Dividend			Sold	07/08/20	J	A	
197. - SPS Commerce		None			Sold	07/08/20	J	A	
198. - Steris PLC	A	Dividend			Sold	07/08/20	J	A	
199. - Texas Roadhouse	A	Dividend			Sold	11/24/20	J	A	
200. - Toll Brothers Inc.	A	Dividend	J	T					
201. - Trimble Inc.		None			Sold	07/08/20	J	A	
202. - Trustmark Corp.	A	Dividend			Sold	07/08/20	J	A	
203. - UMB Financial Corp.	A	Dividend			Sold	07/08/20	J	A	
204. - Umpqua Holdings Corp.	A	Dividend			Sold	07/08/20	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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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)
205. - United Bancshares Inc/WV	A	Dividend			Sold	07/08/20	J	A	
206. - United Natural Foods		None	J	T	Buy (add'l)	07/08/20	J		
207. - Univar Solutions Inc.		None			Sold	07/08/20	J	A	
208. - Urban Outfitters Inc.		None			Sold	07/08/20	J	A	
209. - US Physical Therapy	A	Dividend	J	T					
210. - Valmont Industries Inc.	A	Dividend			Sold	07/08/20	J	A	
211. - Varonis Systems		None	J	T					
212. - Warrior Met Coal Inc.	A	Dividend			Sold	07/08/20	J	A	
213. - Washington Federal Inc.	A	Dividend			Sold	07/08/20	J	A	
214. - Watts Water Technologies	A	Dividend			Sold	07/08/20	J	A	
215. - West Pharmaceuticals	A	Dividend			Sold	07/08/20	J	A	
216. - Wyndham Hotels & Resorts	A	Dividend	J	T					
217. - Yelp Inc.		None			Sold	07/08/20	J	A	
218. - Zendesk Inc.		None	J	T					
219. - Zions Bancorp	A	Dividend			Sold	06/10/20	J	A	
220. - Aberdeen Global Dynamic	A	Dividend	J	T					
221. - Aberdeen Global Premier Properties	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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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. - Aberdeen Toatl Dynamic Dividends	A	Dividend	J	T					
223. - Advent Claymore Conv Sec	A	Dividend	J	T					
224. - AllianzGI Equity & Conv	A	Dividend	J	T					
225. - AllianzGI Nfj Dividend Int	A	Dividend	J	T					
226. - Apollo Senior Floating Rate	A	Dividend	J	T					
227. - Black Rock Credit Allocation	B	Dividend			Sold	02/07/20	J	A	
228.			J	T	Buy (add'l)	02/12/20	J		
229.			J	T	Buy (add'l)	08/19/20	J		
230. - Balck Rock Debt Strategies	A	Dividend	J	T					
231. - Blackrock Resources & Commodities	A	Dividend	J	T					
232. - Brandywine Global Income	A	Dividend	J	T	Sold (part)	09/28/20	J	A	
233.					Sold (part)	10/28/20	J	A	
234. - CBRE Clarion Global RE	A	Dividend	J	T					
235. - Clough Global Equity	A	Dividend	J	T					
236. - Duff & Phelps Global Utility	A	Dividend	J	T					
237. - General American Investors	A	Dividend	J	T					
238. - 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
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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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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)	(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)
239. - Pgim Glb Sht Duration Hi Yield	A	Dividend	J	T					
240. - Pgim Short Duration Hi Yield	A	Dividend	J	T					
241. - River North Double Line Strategic Opp	A	Dividend	J	T					
242. - Royce Micro Cap	A	Dividend	J	T					
243. - Royce Value Trust	A	Dividend	J	T					
244. - Tri-Continental Corp.	A	Dividend	J	T					
245. - Wells Fargo Global Div	A	Dividend			Sold	07/08/20	J	A	
246. - AGNC Investment Corp.	A	Dividend			Buy (add'l)	02/13/20	J		
247.					Sold	12/02/20	J	A	
248. - Altria Group Inc.	A	Dividend	J	T					
249. - Ameren Corp.	A	Dividend			Sold	09/08/20	J	A	
250. - Amerisource Bergen	A	Dividend			Sold	12/02/20	J	A	
251. - Anthem Inc.	A	Dividend			Sold	02/13/20	J	A	
252. - Apple Hospitaliy REIT	A	Dividend			Sold	07/08/20	J	A	
253. - Archer Daniels Midland	A	Dividend	J	T	Buy (add'l)	05/29/20	J		
254.					Buy (add'l)	09/08/20	J		
255. - A T & T Inc.	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 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.

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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)
256. - Baxter International	A	Dividend			Sold	02/13/20	J	A	
257. - Bristol Myers Squibb	A	Dividend	J	T	Buy (add'l)	12/02/20	J		
258. - Brixmor Property Group	A	Dividend			Sold	07/08/20	J	A	
259. - Cardinal Health	A	Dividend			Sold	09/08/20	J	A	
260. - Center Point Energy	A	Dividend	J	T					
261. - Chemed Corp.	A	Dividend	J	T					
262. - Chimera Investment	A	Dividend			Sold	07/08/20	J	A	
263. - Church & Dwight Inc.	A	Dividend	J	T	Buy (add'l)	05/29/20	J		
264. - Cigna Corp.	A	Dividend	J	T					
265. - Clorox Co.	A	Dividend	J	T					
266. - Colgate Palmolive	A	Dividend	J	T					
267. - Consolidated Edison	A	Dividend	J	T					
268. - Corporate Office Properties Trust	A	Dividend			Sold	07/08/20	J	A	
269. - Davita Inc.		None	J	T					
270. - DTE Energy Co.	A	Dividend	J	T					
271. - Eli Lilly & Co.	A	Dividend	J	T					
272. - Encompass Health Corp.	A	Dividend			Sold	07/08/20	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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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. - Entergy Corp.	A	Dividend	J	T					
274. - Equity Commonwealth		None	J	T					
275. - Evergy Inc.	A	Dividend	J	T					
276. - Exelon Corp.	A	Dividend	J	T					
277. - Flowers Foods Inc.	A	Dividend	J	T					
278. - Gaming and Leisure Properties	A	Dividend			Sold	07/08/20	J	A	
279. - General Mills Inc.	A	Dividend	J	T					
280. - Globe Life Inc.	A	Dividend	J	T					
281. - Henry Schein Inc.		None	J	T					
282. - Hershey Co.	A	Dividend	J	T					
283. - Hill-Rom Holdings	A	Dividend	J	T					
284. - H & R Block	A	Dividend	J	T					
285. - Humana Inc.	A	Dividend			Sold	09/08/20	J	A	
286. - Ingredion Corp.	A	Dividend	J	T					
287. - JM Smucker Co.	A	Dividend	J	T	Buy (add'l)	05/29/20	J		
288. - Johnson & Johnson	A	Dividend	J	T					
289. - Kelleogg Co.	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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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. - Kimberly-Clark Corp.	A	Dividend	J	T					
291. - Laboratory Corp of America		None	J	T					
292. - Lamb Weston Holdings	A	Dividend	J	T					
293. - Leidos Holdings Inc.	A	Dividend	J	T	Sold (part)	05/29/20	J	A	
294. - McCormick & Co.	A	Dividend			Sold	02/13/20	J	A	
295. - McKesson Corp.	A	Dividend	J	T					
296. - MDU Resources Group	A	Dividend	J	T					
297. - Medical Properties Trust	A	Dividend			Sold	05/29/20	J	A	
298. - Merck & Co.	A	Dividend	J	T					
299. - MFA Financial	A	Dividend			Sold	07/08/20	J	A	
300. - MGIC Investment Corp.	A	Dividend	J	T					
301. -- National Fuel Gas Co.	A	Dividend	J	T					
302. - New Residential	A	Dividend			Sold	07/08/20	J	A	
303. - New York Community Bancorp	A	Dividend	J	T					
304. - OGE Energy Corp	A	Dividend	J	T					
305. - Park Hotels & Resorts	A	Dividend			Sold	07/08/20	J	A	
306. - PepsiCo Inc.	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

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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. -Pfizer Inc.	A	Dividend	J	T					
308. - Philip Morris	A	Dividend	J	T					
309. - Premier Inc.		None	J	T					
310. - Proctor & Gamble Co.	A	Dividend	J	T					
311. - Public Service Enterprise Grp	A	Dividend	J	T					
312. - Quest Diagnostics	A	Dividend	J	T					
313. - Reinsurance Group of America	A	Dividend			Sold	12/02/20	J	A	
314. - Reliance Steel & Aluminum	A	Dividend			Sold	05/29/20	J	A	
315. - Service Properties Trust	A	Dividend			Sold	07/08/20	J	A	
316. - Silgan Holdings	A	Dividend	J	T					
317. - Southern Corp.	A	Dividend	J	T					
318. - Two Harbors	A	Dividend			Sold	07/08/20	J	A	
319. - Tyson Foods Inc.	A	Dividend	J	T	Buy (add'l)	05/29/20	J		
320. - Universal Health Services	A	Dividend			Sold	07/08/20	J	A	
321. - Unum Group	A	Dividend	J	T					
322. - Varian Medical Systems		None	J	T					
323. - VEREIT Inc.	A	Dividend			Sold	07/08/20	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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Name of Person Reporting

Hummel, Christian F.

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07/02/2021

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. - Verizon Communications	A	Dividend	J	T					
325. - Wyndham Destinations	A	Dividend	J	T					
326. - Xcel Energy	A	Dividend			Sold	07/08/20	J	A	
327. - Zoetis Inc.	A	Dividend	J	T					
328. - Allegion PLC	A	Dividend			Sold	10/14/20	J	A	
329. - Genpact Ltd.	A	Dividend			Sold	07/08/20	J	A	
330. - Pentair PLC	A	Dividend			Sold	11/24/20	J		
331. - Perrigo Co Ltd	A	Dividend	J	T	Buy (add'l)	02/13/20	J		
332. - Black Rock Enhanced Global Div	A	Dividend	J	T					
333. - Black Rock Enhanced Intl Div	A	Dividend	J	T					
334. - Clough Global Opportunities	A	Dividend	J	T					
335. - Amdocs Ltd.	A	Dividend	J	T					
336. - Arch Capital Group		None	J	T					
337. - Bunge Ltd.	A	Dividend	J	T					
338. - Jazz Pharmaceuticals PLC		None	J	T					
339. - Popular Inc.	A	Dividend	J	T					
340. - RenaissanceRe Holdings Ltd	A	Dividend			Sold	07/08/20	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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Name of Person Reporting

Hummel, Christian F.

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07/02/2021

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)
341. - ABB Ltd ADR	A	Dividend	J	T					
342. - Allianz SE	A	Dividend	J	T					
343. - ASE Technology		None	J	T					
344. - Astrazeneca ADR	A	Dividend			Sold	01/14/20	J	A	
345. - BAE Systems	A	Dividend	J	T					
346. - BCE Inc.	A	Dividend	J	T					
347. - BNP Paribas	A	Dividend	J	T					
348. - BOC Hong Kong	A	Dividend			Sold	07/08/20	J	A	
349. - British American Tobacco	A	Dividend	J	T					
350. - China Petroleum	A	Dividend			Sold	07/08/20	J	A	
351. - Cie Generale des Etablissements	A	Dividend	J	T					
352. - Deutsche Telecom	A	Dividend	J	T					
353. - Diageo ADR	A	Dividend	J	T					
354. - Engie SA	A	Dividend			Sold	04/14/20	J	A	
355. - GlaxoSmithKline	A	Dividend			Sold	12/21/20	J	A	
356. - HSBC Holdings	A	Dividend			Sold	07/08/20	J	A	
357. - Iberdrola SA	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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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. - Imperial Brands	A	Dividend	J	T					
359. - Lloyds Banking	A	Dividend			Sold	07/08/20	J	A	
360. - Manulife Financial	A	Dividend	J	T					
361. - MMC Norlisk Nickel	A	Dividend	J	T					
362. - Muenchener Reukversicherungs	A	Dividend	J	T					
363. - Nestle SA Spon ADR	A	Dividend	J	T					
364. - Nippon Tel & Tel	A	Dividend	J	T					
365. - NN Group NV	A	Dividend	J	T					
366. - Novartis AG ADR	A	Dividend	J	T					
367. - Orkla ASA	A	Dividend	J	T					
368. - Roche Holdings	A	Dividend	J	T					
369. - Royal Dutch Shell	A	Dividend			Sold	07/08/20	J	A	
370. - Sanofi - Aventis	A	Dividend	J	T					
371. - Siemens AG ADR	A	Dividend	J	T					
372. - Singapore Telecommunications	A	Dividend	J	T	Buy (add'l)	04/17/20	J		
373. - Smiths Group PLC	A	Dividend			Sold	07/08/20	J	A	
374. - Smurfit Kappa Group	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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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. - Sonic Healthcare Ltd.	A	Dividend	J	T					
376. - Telefonica Brasil	A	Dividend			Sold	07/08/20	J	A	
377. - Total ADR Each Rep	A	Dividend	J	T					
378. - Toyota Motor	A	Dividend			Sold	07/08/20	J	A	
379. - UBS Group	A	Dividend	J	T					
380. - Unilever NV	A	Dividend	J	T					
381. - United Overseas Bank	A	Dividend	J	T					
382. - UPM-Kymmene Oyj		None	J	T					
383. - Zurich Insurance Group	A	Dividend			Sold	07/08/20	J	A	
384. - Alliance Bernstein Glo Hi Income	A	Dividend	J	T					
385. - Apollo Tactical Income	A	Dividend	J	T					
386. - Ares Dynamic Credit Allocation	A	Dividend	J	T					
387. - Black Rock Core Bond Trust	A	Dividend	J	T					
388. - Black Rock Corporate HI Yield	A	Dividend			Sold	03/18/20	J	A	
389. - Blackrock Floating Rate	A	Dividend	J	T					
390. - Boulder Growth & Income	A	Dividend	J	T					
391. - Cohen & Steers REIT	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)
392. - Eaton Vance Floating Rate	A	Dividend			Sold	07/08/20	J	A	
393. - Eaton Vance Ltd Duration	A	Dividend	J	T					
394. - Eaton Vance Senior Floating Rate	A	Dividend			Sold	07/08/20	J	A	
395. - First Trust High Income	A	Dividend	J	T					
396. - First Trust Interm Duration	A	Dividend	J	T					
397. - MFS Charter Income	A	Dividend	J	T					
398. - MFS Intermed Income	A	Dividend	J	T					
399. - MFS Multimarket Income	A	Dividend	J	T					
400. - Nuveen Credit Strategies	A	Dividend	J	T					
401. - Nuveen Floating Rate	A	Dividend	J	T					
402. - Nuveen Global High Income	A	Dividend	J	T					
403. - Nuveen Pref and Income Opp	A	Dividend	J	T					
404. - Templeton Global	A	Dividend	J	T					
405. - Voya Prime Rate Trust Shs	A	Dividend	J	T					
406. - Wells Fargo Income Opp	A	Dividend	J	T					
407. - Western Asset Emerging Markets Debt	A	Dividend	J	T					
408. - Western Asset Global Corporate	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.)



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. - Western Asset Global High Income	A	Dividend	J	T					
410. - Western Asset High Yield	A	Dividend	J	T					
411. - Western Asset High Income II	A	Dividend	J	T					
412. - Western Asset High Income Opp	A	Dividend	J	T					
413. - Western Income Inflation-Linked Opp	A	Dividend	J	T					
414. - Anheuser Busch InBev 4.75%	A	Interest	J	T					
415. - Apple Inc. 1.55% Feb 2020	A	Interest			Matured	02/07/20	J	A	
416. - Astrazeneca PLC 2.375%	A	Interest			Matured	11/16/20	J	A	
417. - AT&T Inc. 3.875%	A	Interest			Redeemed	06/29/20	J	A	
418. - Bank of America Corp 3.3%	A	Interest	J	T					
419. - Berkshire Hatahaway Finance 4.25%	A	Interest	J	T					
420. - Chevron Corp. 2.355%	A	Interest	J	T					
421. - Cisco Systems 3.625%	A	Interest	J	T					
422. - Citigroup Inc. 3.75%	A	Interest	J	T					
423. - Coca Cola Co. 3.2%	A	Interest	J	T					
424. - ConocoPhillips 6.95%	A	Interest	J	T					
425. - Enterprise Products Operating 3.125%	A	Interest	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	
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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)	(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. - Comcast Corp 3.15%	A	Interest	J	T					
427. - Exxon Mobil Cpr. 3.043%	A	Interest	J	T					
428. - Glied Sciences 2.95%	A	Interest	J	T					
429. - Goldman Sachs 3.5%	A	Interest	J	T					
430. - Intel Corp 2.7%	A	Interest	J	T					
431. - IBM Corp 3.625%	A	Interest	J	T					
432. - JP Morgan Chase 3.125%	A	Interest	J	T					
433. - Lowe's Cos. 2.5%	A	Interest	J	T					
434. - Lowe's Cos. 3.12%	A	Interest	J	T					
435. - Microsoft Corp 3.3%	A	Interest	J	T					
436. - Morgan Stanley 2.125%	A	Interest	J	T					
437. - Northrup Grumman 3.25%	A	Interest	J	T					
438. - PepsiCo Inc. 2.375%	A	Interest	J	T					
439. - Pfizer Inc. 3%	A	Interest	J	T					
440. - Shell Intl 3.25%	A	Interest	J	T					
441. - TCI Comm 7.875%	A	Interest	J	T					
442. - TWDC Enterprises 18 Corp 2.75%	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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443. - Walmart Inc. 5.875%	A	Interest	J	T					
444. - Wells Fargo 2.15%	A	Interest			Matured	01/30/20	J	A	
445. - BHP Billiton 3.85%	A	Interest	J	T					
446. - BP Capital Markets 3.245%	A	Interest	J	T					
447. - Government Fund SEOXX	A	Interest	J	T					
448. - II-IV Inc.		None	J	T	Buy	01/07/20	J		
449. - Plantronics		None			Buy	01/07/20	J		
450.					Sold	07/08/20	J	A	
451. - Nordson Corp	A	Dividend	J	T	Buy	01/23/20	J		
452. - Wells Fargo 2.6% Jul 2020	A	Interest			Buy	02/04/20	J		
453.					Matured	07/22/20	J	A	
454. - Okta Inc.		None			Buy	02/04/20	J		
455.					Sold	07/08/20	J	A	
456. - US Pref Stock ETF	A	Int./Div.	J	T	Buy	02/12/20	J		
457. - ConAgra Foods Inc.	A	Dividend	J	T	Buy	02/13/20	J		
458. - Apple Inc. 2% Nov 2020	A	Interest			Buy	02/18/20	J		
459.					Matured	11/13/20	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
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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)
460. - Carvana Co		None			Buy	02/20/20	J		
461.					Sold	09/16/20	J	A	
462. - World Wrestling Entertainment	A	Dividend	J	T	Buy	03/18/20	J		
463. - Softbank Corp	A	Dividend	J	T	Buy	04/14/20	J		
464. - Zillow Group Inc		None	J	T	Buy	04/28/20	J		
465. - Berkshire Hathaway 4.25% Jan 2021	A	Interest	J	T	Buy	05/14/20	J		
466. - Enel SpA	A	Dividend	J	T	Buy	05/27/20	J		
467. - Agios Pharma		None	J	T	Buy	05/28/20	J		
468. - Sangamo Thera		None	J	T	Buy	05/28/20	J		
469. - Casey's General Stores Inc.	A	Dividend	J	T	Buy	05/29/20	J		
470. - Walgreens Boots	A	Dividend	J	T	Buy	05/29/20	J		
471. - Kroger Co	A	Dividend	J	T	Buy	05/29/20	J		
472. - Mylan NV		None	J	T	Buy	05/29/20	J		
473. - Otis Worldwide	A	Dividend	J	T	Buy	06/10/20	J		
474. - Carrier Global Corp.	A	Dividend	J	T	Buy	06/10/20	J		
475. - Bluebird Bio Inc.		None	J	T	Buy	07/08/20	J		
476. - Alkermes PLC		None	J	T	Buy	07/08/20	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	
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Name of Person Reporting

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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)
477. - RealReal Inc.		None	J	T	Buy	07/08/20	J		
478. - Kemper Corp	A	Dividend	J	T	Buy	07/08/20	J		
479. - iRobot Corp.		None	J	T	Buy	07/08/20	J		
480. - AT&T Inc. 4.3% Feb 2030	A	Interest	J	T	Buy	07/16/20	J		
481.	A	Interest	J	S	Buy (add'l)	07/30/20	J		
482. - Apple Inc. 1.65% May 2030	A	Interest	J	T	Buy	07/16/20	J		
483.	A	Interest	J	T	Buy (add'l)	11/19/20	J		
484. - Vale SA	A	Dividend	J	T	Buy	07/22/20	J		
485. - EQT Corp.	A	Dividend	J	T	Buy	08/04/20	J		
486. - CommScope		None	J	T	Buy	08/19/20	J		
487. - Groupon Inc.		None			Buy	08/19/20	J		
488.					Sold	09/29/20	J	A	
489. - Athene Holding Ltd		None	J	T	Buy	08/19/20	J		
490. - Columbia Sportswear Co	A	Dividend	J	T	Buy	09/01/20	J		
491. - Textron Inc.	A	Dividend	J	T	Buy	09/01/20	J		
492. - Western Union	A	Dividend	J	T	Buy	09/08/20	J		
493. - Elanco Animal Health		None	J	T	Buy	09/08/20	J		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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494. - General Motors 4.2% Nov 2021	A	Interest	J	T	Buy	09/14/20	J		
495.	A	Interest	J	T	Buy (add'l)	12/02/20	J		
496. - Adaptive Biotech		None	J	T	Buy	09/16/20	J		
497. - Landstar System	A	Dividend	J	T	Buy	09/16/20	J		
498. - Voya Financial	A	Dividend	J	T	Buy	10/27/20	J		
499. - Alaska Air Group	A	Dividend	J	T	Buy	11/11/20	J		
500. - Acadia Pharma		None	J	T	Buy	11/24/20	J		
501. - Five9 Inc.		None	J	T	Buy	11/24/20	J		
502. - Steel Dynamics	A	Dividend	J	T	Buy	11/24/20	J		
503. - Ultragenyx Pharma		None	J	T	Buy	11/24/20	J		
504. - Sage Therapeutics		None	J	T	Buy	11/24/20	J		
505. - Catalent Inc.		None	J	T	Buy	12/02/20	J		
506. - Proctor & Gamble	A	Dividend	J	T	Buy	12/02/20	J		
507. - T Mobile		None	J	T	Buy	12/02/20	J		
508. - Svenska Handelsbanken		None	J	T	Buy	12/04/20	J		
509. - Big Commerce Holdings		None	J	T	Buy	12/09/20	J		
510. - Rite Aid Corp		None	J	T	Buy	12/09/20	J		

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
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511. - Editas Medicine		None	J	T	Buy	12/09/20	J		
512. - Cie de Saint-Gobain		None	J	T	Buy	12/21/20	J		
513. - Albemarle Corp.	A	Dividend	J	T	Buy	07/08/20	J		
514. - Arena Pharma		None	J	T	Buy	07/08/20	J		
515. - BAE Systems PLC	A	Dividend	J	T	Buy	07/08/20	J		
516. - Bank OZK	A	Dividend	J	T	Buy	05/29/20	J		
517. - Bright Horizons		None	J	T	Buy	05/29/20	J		
518. - Brookfield Real Assets	A	Int./Div.	J	T	Buy	07/16/20	J		
519. - Bruker Corp.	A	Dividend	J	T	Buy	07/08/20	J		
520. - Cardlytics Inc.		None	J	T	Buy	07/16/20	J		
521. - Charles River Labs		None	J	T	Buy	07/08/20	J		
522. - Conagra Brands	A	Dividend	J	T	Buy	05/29/20	J		
523. - Deutsche Post	A	Dividend	J	T	Buy	05/29/20	J		
524. - Evercore Inc.	A	Dividend	J	T	Buy	07/16/20	J		
525. - Evolent Health Inc.		None	J	T	Buy	07/08/20	J		
526. - IAA Inc.		None	J	T	Buy	07/08/20	J		
527. - Innovative Industrial Properties	A	Dividend	J	T	Buy	07/16/20	J		

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.

Date of Report

07/02/2021

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)
528. - Inphi Corp.		None	J	T	Buy	05/22/20	J		
529. - Liberty Media		None	J	T	Buy	07/08/20	J		
530. - MDC Holdings	A	Dividend	J	T	Buy	07/09/20	J		
531. - OneMain Holdings	A	Dividend	J	T	Buy	07/08/20	J		
532. - Ollie's Bargain Outlet		None	J	T	Buy	07/08/20	J		
533. - PAR Technology		None	J	T	Buy	02/13/20	J		
534. - PDC Energy Inc.		None	J	T	Buy	07/08/20	J		
535. - Persimmon PLC	A	Dividend	J	T	Buy	07/16/20	J		
536. - QTS Realty Trust	A	Dividend	J	T	Buy	06/11/20	J		
537. - Redfin Corp		None	J	T	Buy	02/20/20	J		
538. - Rexford Industrial Realty	A	Dividend	J	T	Buy	05/29/20	J		
539. - Reynolds Consumer	A	Dividend	J	T	Buy	07/08/20	J		
540. - Toyota Motor Corp.	A	Dividend	J	T	Buy	07/16/20	J		
541. - Trupanion Inc.		None	J	T	Buy	07/08/20	J		
542. - United Therapeutics		None	J	T	Buy	07/08/20	J		
543. - US Foods		None	J	T	Buy	05/22/20	J		
544. - Viatris Inc.		None	J	T	Buy	07/08/20	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	

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. - Woodward Inc.	A	Dividend	J	T	Buy	07/15/20	J		
546. New York State 529 College Savings Plan #1 (header)									
547. - JP Morgan Agressive Age-Based Portfolio	A	Int./Div.	K	T	Buy (add'l)	12/15/20	J		
548. New York State 529 College Savings Plan #2 (header)									
549. - JP Morgan Moderate Age-Based Portfolio	A	Int./Div.	K	T	Buy (add'l)	08/04/20	J		
550. Nationwide Universal Life (Header)									
551. - Fixed Interest Strategy	A	Interest	J	T					
552. - 1-Yr. S&P 500 Pnt to Pnt	A	Dividend	J	T					
553.									
554.									
555.									

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

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Name of Person Reporting

Hummel, Christian F.

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07/02/2021

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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