

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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

1. Person Reporting (last name, first, middle initial) Hummel, Christian F.	2. Court or Organization United States District Court N.Y. Northern District	3. Date of Report 01/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 01/01/2013
7. Chambers or Office Address United States District Court Northern District of New York 445 Broadway Albany, NY 12207		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☒ **NONE** (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☐ **NONE** (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2012	New York State Retirement System, currently receiving pension.
2. _____	_____
3. _____	_____

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	New York State Unified Court System	\$101,196.00
2. 2011	New York State Unified Court System	\$136,680.00
3. 2010	New York State Unified Court System	\$136,691.14
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	New York State Unified Court System
2. 2011	New York State Unified Court System
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2. Exempt				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.	Exempt		
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
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 Account	A	Interest	K	T					
2. Key Bank Account	A	Interest	K	T					
3. S.E.F.C.U. Account	A	Interest	J	T					
4. I.N.G. Savings Account	A	Interest	K	T					
5. Altria Group, Inc. Common Stock	A	Dividend	J	T					
6. db-X 2020 Target Date E.T.F. Deutsche Bank Symbol TDH (IRA)	A	Int./Div.	J	T					
7. The Hartford Variable Annuity (IRA)	E	Int./Div.	M	T					
8. - Hartford Small Cap Growth Fund									
9. - Hartford Mortgage Securities Fund									
10. - International Capital Appreciation Fun									
11. - Hartford Capital Appreciation Fund									
12. - Hartford Mid Cap Value Fund									
13. - Hartford Stock Fund									
14. - Hartford Value Fund									
15. - Hartford Advisors Fund									
16. - Hartford High Yield Fund									
17. - Hartford Total Return Bond Fund									

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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. The Hartford Variable Annuity (IRA)	D	Int./Div.	K	T					
19. - Hartford Total Return Bond Fund									
20. - Hartford Hi Yield HLS									
21. - Hartford US Government Securities HLS Fund									
22. - Hartford International Opportunities HLS Fund									
23. - Hartford Advisors HLS Fund									
24. - Hartford Capital Appreciation HLS Fund									
25. - Hartford MidCap Value HLS Fund									
26. - Hartford Small Cap Growth HLS Fund									
27. - Hartford Stock HLS Fund									
28. Glens Falls National Bank - Carter, Conboy, et al 401(K)	C	Int./Div.	K	T					
29. - Vanguard Wellington Fund									
30. New York State Deferred Compensation Plan	E	Int./Div.	N	T					
31. - T Rowe Price Retire 2020									
32. - T Rowe Price Retire 2030									
33. - Intl Equity Fund - Active									
34. - Jans Fund T Symbol JANSX									

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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. - Vanguard Wellington Fund Fd AD									
36. - Stable Income Fund NYS DCP									
37. New York State Deferred Compensation Plan	E	Int./Div.	N	T					
38. - T. Rowe Price Retire 2010									
39. - Intl Equity Fund - Active									
40. - Fidelity Magellan Fund									
41. - Fidelity OTC Fund									
42. - T. Rowe Price Equity Income Fund									
43. - Vanguard Institutional Index Fund									
44. - Vanguard Bond Index Fund									
45. - Stable Income Fund NYS DCP									
46. LRA. Account #1	E	Int./Div.	M	T					
47. - Hartford Advisors HLS									
48. - Hartford Capital Apprec.									
49. - Hartford High Yield									
50. - Hartford International Opp.									
51. - Hartford Mid-Cap Value									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Hartford Small-Cap Growth									
53. - Hartford Stock HLS									
54. - Hartford Total Return Bond									
55. - Hartford US Gov't Securities									
56. - Hartford Value HLS									
57. I.R.A. Account #2	D	Int./Div.	K	T					
58. - Hartford Advisors HLS									
59. - Hartford Capital Apprec.									
60. - Hartford High Yield									
61. - Hartford Int'l Opport.									
62. - Hartford Mid-Cap Value									
63. - Hartford Small-Cap Growth									
64. - Hartford Stock HLS									
65. - Hartford Total Return Bond									
66. - Hartford US Gov't Securities									
67. Brokerage Account #1	D	Int./Div.	L	T					
68. - SEI Large Cap Value	B	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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69. - SEI Core Fund Income	B	Int./Div.	J	T					
70. - SEI High Yield Bond	A	Int./Div.	J	T					
71. - SEI Small Cap Value	A	Int./Div.	J	T					
72. - SEI Large Cap Growth	A	Int./Div.	J	T					
73. - SEI Small Cap Growth	A	Int./Div.	J	T					
74. - SEI Int'l Emerg Mkts Debt	A	Int./Div.	J	T					
75. - SEI Int'l Emerg Mkts Fund	A	Int./Div.	J	T					
76. - SEI Int'l Equity Fund	A	Int./Div.	J	T					
77. - SEI Int'l Fixed Income	A	Int./Div.	J	T					
78. - SEI Liquid Asset Prime	A	Int./Div.	J	T					
79.									
80.									
81.									
82.									
83.									
84.									
85.									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Christian F. Hummel**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
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Washington, D.C. 20544