

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 6/23/2014
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 01/01/2013 to 12/31/2013
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.		

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. 2013 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. 2013	State University of New York	\$4,419.20
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. 2013	New York State Unified Court System
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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 Account	A	Interest	K	T					
2. Chase Bank (X)	A	Interest	K	T					
3. S.E.F.C.U. Account	A	Interest	J	T					
4. Capitol One Bank	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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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)	D	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. Chase Bank IRA Account	A	Interest	K	T	Buy	03/01/13	K		
38. IRA Account #1	D	Int./Div.	M	T					
39. - SunAmerica Dynamic Allocation					Buy	04/17/13	L		
40. - SunAmerica Dynamic Strategy					Buy	04/17/13	L		
41. - Secure Value Account					Buy	04/17/13	L		
42.									
43. New York State Deferred Compensation Plan	E	Int./Div.			Distributed	04/17/13	N		
44.									
45. Brokerage Account #1	D	Int./Div.	L	T					
46. - SEI Large Cap Value	B	Int./Div.	J	T					
47. - SEI Core Fund Income	B	Int./Div.	J	T					
48. - SEI High Yield Bond	A	Int./Div.	J	T					
49. - SEI Small Cap Value	A	Int./Div.	J	T					
50. - SEI Large Cap Growth	C	Int./Div.	J	T					
51. - SEI Small Cap Growth	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - SEI Int'l Emerg Mkts Debt	A	Int./Div.	J	T					
53. - SEI Int'l Emerg Mkts Fund	A	Int./Div.	J	T					
54. - SEI Int'l Equity Fund	B	Int./Div.	J	T					
55. - SEI Int'l Fixed Income	A	Int./Div.	J	T					
56. - SEI Liquid Asset Prime	A	Int./Div.	J	T					
57. Legg Mason Global Asset (Roth IRA) (X)	A	Int./Div.	J	T					
58. - LM Lifestyle Allocation (X)									
59. IRA Account #2 - SEI Funds	C	Int./Div.	L	T					
60. - SEI Large Cap					Buy	04/17/13	K		
61. - SEI Small Cap					Buy	04/17/13	J		
62. - SEI INT'l Equity					Buy	04/17/13	J		
63. - SEI Emerging Mkts					Buy	04/17/13	J		
64. - SEI High Yield Bond					Buy	04/17/13	J		
65. - SEI Emerg Mkts Debt					Buy	04/17/13	J		
66. - SEI Multi-Asset					Buy	04/17/13	K		
67. - SEI Prime Obligation					Buy	04/17/13	J		
68. Key Bank Account (Y)									

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

As noted in "Letter of Inquiry," the previous year's (2012) report included, on line 46-66, two IRA accounts with Hartford Advisors. These were actually accounts that were duplicated in 2012 and thus should not appear on this report.

Per my phone call to the Committee on Financial Disclosure, I am to simply note this on the 2013 report, and not amend the 2012 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
One Columbus Circle, N.E.
Washington, D.C. 20544