

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 06/28/2017
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 01/01/2016 to 12/31/2016
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. 2016	New York State Retirement System, currently receiving pension
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Hummel, Christian F.

Date of Report

06/28/2017

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. 2016	State University of New York Wages	\$5,200.00
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. 2016	New York State Unified Court System Wages
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Hummel, Christian F.

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06/28/2017

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Hummel, Christian F.

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06/28/2017

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. First Niagara Bank / Key Bank	A	Interest	L	T					
2. Key Bank	A	Interest	K	T	Open	07/01/16	K		
3. Chase Bank	A	Interest			Closed	01/31/16	K		
4. S.E.F.C.U. Account	A	Interest	J	T					
5. Capital One Bank (Savings)	A	Interest	L	T					
6. Altria Group, Inc. Common Stock	A	Dividend	J	T					
7. The Hartford Variable Annuity (IRA) (Header)									
8. - Hartford Total Return Bond Fund	A	Int./Div.			Sold	08/29/16	J	A	
9. - Hartford Hi Yield	A	Int./Div.			Sold	08/29/16	J	A	
10. - Hartford US Gov Securities	A	Int./Div.			Sold	08/29/16	J	A	
11. - Hartford Int Opp	A	Int./Div.			Sold	08/29/16	J	A	
12. - Hartford Balanced HLS	B	Int./Div.			Sold	08/29/16	J	A	
13. - Hartford Cap App	B	Int./Div.			Sold	08/29/16	J	A	
14. - Hartford Mid Cap	A	Int./Div.			Sold	08/29/16	J	A	
15. - Hartford Small Cap	A	Int./Div.			Sold	08/29/16	J	A	
16. - Hartford Stock	A	Int./Div.			Sold	08/29/16	J	A	
17. Glens Falls National Bank - Carter Conboy et al 401(K) (Header)									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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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) 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)

18. - Vanguard Wellington Fund	C	Int./Div.			Sold	10/31/16	L	C	
19. Chase Bank IRA Account	A	Interest	K	T					
20. L.R.A. Account #1 (Header)									
21. - SunAmerica Dynamic Allocation	B	Int./Div.	L	T					
22. - SunAmerica Dynamic Strategy	B	Int./Div.	L	T					
23. - Secure Value Account	B	Int./Div.	K	T					
24. Brokerage Account #1 (Header)									
25. - SEI Large Cap Growth	A	Int./Div.	J	T					
26. - SEI Large Cap Value	A	Int./Div.	J	T	Buy	06/30/16	J		
27. - SEI Sm Cap Growth	A	Int./Div.	J	T					
28. - SEI Sm Cap Value	A	Int./Div.	J	T					
29. - SEI Intl Equity	A	Int./Div.	J	T					
30. - SEI Emerging Markets	A	Int./Div.	J	T					
31. - SEI Core Fixed Income	A	Int./Div.	K	T					
32. - SEI Hi Yield Bond Fund	A	Int./Div.	J	T					
33. - SEI Intl Fixed Income	A	Int./Div.	J	T					
34. - SEI Emerging Markets Debt	A	Int./Div.	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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35. - SEI Prime Obligations	A	Int./Div.			Sold	06/30/16	J	A	
36. Legg Mason Global Asset (Roth IRA) (Header)									
37. - Legg Mason Lifestyle / Moderate Allocation	A	Int./Div.	J	T					
38. IRA Account #2 (SEI Funds) (Header)									
39. - SEI Large Cap	A	Int./Div.	K	T					
40. - SEI Small Cap	A	Int./Div.	J	T					
41. - SEI Intl Equity	A	Int./Div.	K	T	Buy (add'l)	11/07/16	J		
42. - SEI Emerging Markets Equity	A	Int./Div.	J	T					
43. - SEI US Fixed Income Fund	A	Int./Div.	J	T	Buy	11/07/16	J		
44. - SEI Hi Yield Bond	A	Int./Div.	J	T					
45. - SEI Emerging Markets Debt	A	Int./Div.	J	T					
46. - SEI Dynamic Asset	A	Int./Div.	J	T	Buy	11/07/16	J		
47. - SEI Multi-Asset	A	Int./Div.	K	T	Buy (add'l)	11/07/16	J		
48. - SEI Prime Obligation	A	Int./Div.	J	T					
49. Jackson National Life Annuity (IRA) (Header)									
50. - GS Core Plus Bond	B	Int./Div.	K	T					
51. - T Rowe Price Mid Cap	A	Int./Div.	K	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. - MC Healthcare Sector	A	Int./Div.	J	T					
53. - MC Tech Sector	A	Int./Div.	J	T					
54. - S&P Dividend Inc & Growth	A	Int./Div.	K	T					
55. - S&P Comp Adv	A	Int./Div.	K	T					
56. - FR Temp Intl Sm Cap	A	Int./Div.	J	T					
57. - MC Consumer Bd Sector	A	Int./Div.	J	T					
58. - T Rowe Price Est Growth	A	Int./Div.	K	T					
59. - Oppenheimer Global Growth	A	Int./Div.	K	T					
60. - MC Pacific Rim 30	A	Int./Div.	J	T					
61. - PPM America Total Return	A	Int./Div.	K	T					
62. - PPM America Sm Cap Value	A	Int./Div.	K	T					
63. - PPM America Fl Rate Income	A	Int./Div.	J	T					
64. - MC European 30	A	Int./Div.	J	T					
65. - PPM America Strategic Income	A	Int./Div.	K	T	Buy	12/12/16	K		
66. - America Hi Yield Bond	A	Int./Div.	J	T	Buy	12/12/16	J		
67. - Nasdaq 100	B	Int./Div.	K	T	Buy	12/12/16	K		
68. - 400 MC Index	A	Int./Div.	K	T	Buy	12/12/16	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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Hummel, Christian F.

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69. - S&P SMid 60	A	Int./Div.	J	T	Buy	12/12/16	K		
70. - DFA US Core Equity	A	Int./Div.	J	T	Buy	12/12/16	J		
71. - MC Financial Sector	A	Int./Div.	J	T	Buy	12/12/16	J		
72. - MC Oil & Gas Sector	A	Int./Div.	J	T	Buy	12/12/16	J		
73. - MC Int'l Index	B	Int./Div.	K	T	Buy	12/12/16	K		
74. New York State Deferred Compensation Plan (Header)									
75. - T Rowe Price Retire 2020	D	Int./Div.	M	T					
76. - T Rowe Price Retire 2030	D	Int./Div.	L	T					
77. - Intl Equity Fund Active	D	Int./Div.	L	T					
78. - Janus Fund T Symbol JANSX	D	Int./Div.	L	T					
79. - Vanguard Wellington Fund	D	Int./Div.	L	T					
80. - Stable Income Fund	D	Int./Div.	L	T					
81. IRA Account #3 (SEI Funds) (Header)									
82. - SEI Dynamic Asset	A	Int./Div.	J	T	Buy	09/01/16	J		
83. - SEI Inst Managed High Yield	A	Int./Div.	J	T	Buy	09/01/16	J		
84. - SEI Inst Managed TR Lrgcap	A	Int./Div.	J	T	Buy	09/01/16	J		
85. - SEI Inst Managed TR MLTSTRG	A	Int./Div.	J	T	Buy	09/01/16	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86. - SEI Inst Managed TR MULT A INFMG	A	Int./Div.	J	T	Buy	09/01/16	J		
87. - SEI Inst Managed TR MULT ASSET INC	A	Int./Div.	J	T	Buy	09/01/16	J		
88. - SEI Inst Managed TR MULT ASSACCUM	A	Int./Div.	J	T	Buy	09/01/16	J		
89. - SEI Inst Managed TR SmallCap	A	Int./Div.	J	T	Buy	09/01/16	J		
90. - SEI Inst Managed TR US FXD INC	A	Int./Div.	J	T	Buy	09/01/16	J		
91. - SEI INTL Emerging Debt	A	Int./Div.	J	T	Buy	09/01/16	J		
92. - SEI Intl Emerging Markets Fund	A	Int./Div.	J	T	Buy	09/01/16	J		
93. - SEI International Equity Fund	A	Int./Div.	J	T	Buy	09/01/16	J		
94.									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

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Date of Report

06/28/2017

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

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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