

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) Drain, Robert D.	2. Court or Organization Southern District of New York	3. Date of Report 03/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	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 Bankruptcy Court, S.D.N.Y. 300 Quarropas St. White Plains, New York 10601		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board Member	American Bankruptcy Institute
2.	Circuit Governor	National Conference of Bankruptcy Judges
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.		
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.		
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. M&A Advisor	1/27/2016-1/29/2016	Palm Beach, FL	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation
2. The Center for American and International Law	2/24/2016-2/26/2016	New Orleans, LA	Speaker at Fifth Circuit bench/bar conference	Airfare, hotel, food, other transportation
3. American Bankruptcy Institute	3/7/2016	Brooklyn, NY	Judge for national moot court competition	Auto mileage, parking, food
4. American College of Bankruptcy	3/17/2016-3/19/2016	Washington, DC	Induction ceremony and events	Auto mileage, other transportation, food
5. American Bankruptcy Institute	4/14/2016-4/17/2016	Washington, DC	Speaker at bankruptcy law conference	Auto mileage, other transportation, food

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6.	American Bankruptcy Institute	5/12/2016	New York, NY	Speaker at bankruptcy law conference	Train, food
7.	Delware Bar Association	5/18/2016-5/19/2016	Wilmington, DE	Speaker at bench/bar conference	Auto mileage, food
8.	The Mergermarket Group	5/27/2016	New York, NY	Speaker at Debtwire conference on shipping	Auto mileage, parking, food
9.	Cleveland Metro Bar Association	5/31/2016-6/1/2016	Cleveland, OH	Speaker at bench/bar conference	Airfare, hotel, other transportation, food
10.	Hudson Valley Bar Association	9/29/2016-9/30/2016	Hyde Park, NY	Speaker at bench/bar conference	Auto mileage, hotel, food, honorarium
11.	American Bankruptcy Institute/Georgetown Law School	10/6/2016-10/7/2016	Washington, DC	Speaker at views from the bench conference	Train, other transportation, food
12.	Singapore Academy of Law	10/9/2016-10/13/2016	Singapore	Participant in international judges' meeting to draft uniform cross-border guidelines	Airfare, hotel, other transportatin, food
13.	National Conference of Bankruptcy Judges	10/26/2016-10/28/2016	San Francisco, CA	Speaker at bench/bar conference	Airfare, hotel, other transportation, food
14.	American Bankruptcy Institute	12/1/2016-12/3/2016	Rancho Palos Verdes, CA	Speaker at bankruptcy law conference	Airfare, hotel, other transportation, food
15.	University of Pennsylvania	12/7/2016	Philadelphia, PA	Speaker at Wharton workshop on resolution of SIFIs	Train, food
16.	Department of Commerce	12/11/2017-12/16/2016	Beijing and Shanghai, China	Speaker at multiple programs and meetings on U.S./China bankruptcy systems	Airfare, hotel, other transportation, food

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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.			
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. Citibank Account	A	Interest	K	T					
2. Access Financial Account #1 (Cash and Stock)	B	Int./Div.	K	T					
3. -FifthThird Bancorp common	A	Dividend	J	T					
4. US Trust Managed Common Account (no control)									
5. -Alexion Pharmaceuticals		None			Sold	11/10/16	J	A	
6. -Alphabet Inc. Com		None			Sold (part)	10/04/16	J	A	
7.			M	T	Sold (part)	11/02/16	J	A	
8. -Amazon		None			Sold (part)	10/04/16	J	A	
9.			M	T	Buy (add'l)	11/02/16	J		
10. -Apple					Sold (part)	10/04/16	J	A	
11.					Buy (add'l)	05/12/16	J		
12.					Buy (add'l)	05/24/16	J		
13.	A	Dividend	K	T	Sold (part)	10/27/16	J	A	
14. -Aston Montag & Caldwell Grwth Fnd Cl 1					Sold (part)	04/14/16	J		
15.	A	Dividend	K	T	Distributed (part)	12/29/16	J	C	
16. -Autozone	A	Dividend	J	T					
17. -BB&T Corp.	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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18. -Berkshire Hathaway Cl B		None	K	T					
19. -Celgene		None			Buy	08/03/16	J		
20.					Buy (add'l)	08/04/16	J		
21.					Buy (add'l)	08/11/16	J		
22.			K	T	Sold (part)	10/04/16	J		
23. -Cerner		None		T					
24. -Chipotle		None			Sold	01/11/16	J		
25. -Citigroup					Buy (add'l)	08/31/16	J		
26.					Buy (add'l)	09/13/16	J		
27.	A	Dividend	K	T	Buy (add'l)	10/18/16	J		
28. -Col. Dividend Income FD Cl. Z	B	Dividend	L	T	Distributed (part)	12/15/16	J	B	
29. -Col. Select Large Cap Growth FD Cl. Z			M		Distributed (part)	06/20/16	J	D	
30.				T	Distributed (part)	12/12/16	K	E	
31. -Comcast Corp.	B	Dividend	L	T					
32. -Costco Whsl	A	Dividend	J	T					
33. -CVS Health	A	Dividend			Buy	10/04/16	J		
34.					Buy (add'l)	10/05/16	J		

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35.					Sold	11/14/16	J		
36. -Danaher	A	Distribution	J	T	Sold (part)	10/04/16	J	A	
37. -Dell Tech		None	J	T	Buy	10/24/16	J		
38. -Delphi Automotive					Buy (add'l)	01/13/16	J		
39.					Buy (add'l)	01/14/16	J		
40.					Buy (add'l)	01/15/16	J		
41.					Buy (add'l)	01/27/16	J		
42.					Buy (add'l)	01/28/16	J		
43.	A	Dividend	J	T	Buy (add'l)	04/20/16	J		
44. -Disney Walt Co.					Buy (add'l)	01/15/16	J		
45.					Buy (add'l)	01/27/16	J		
46.					Buy (add'l)	04/13/16	J		
47.	A	Dividend	K	T	Buy (add'l)	04/14/16	J		
48. -EMC					Merged (with line 37)	10/24/16	J	D	
49. -EOG Res					Buy	10/04/16	J		
50.	A	Dividend	J	T	Buy (add'l)	10/05/16	J		
51. -Exxon Mobil	B	Dividend	L	T					

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52. -Facebook		None			Sold (part)	02/10/16	J	A	
53.			K	T	Sold (part)	04/13/16	J	B	
54. -Fortive	A	Dividend	J	T	Buy	07/04/16	J		
55. -Gilead Sciences	A	Dividend	K	T					
56. -Goldman Sachs					Buy	02/10/16	J		
57.	A	Dividend	K	T	Buy (add'l)	02/25/16	J		
58. -Hershey	A	Dividend	J	T	Sold (part)	10/04/16	J		
59. -Home Depot	A	Dividend	K	T					
60. -Intercontinental Exchange					Buy	10/04/16	J		
61.					Buy (add'l)	10/05/16	J		
62.					Buy (add'l)	11/14/16	J		
63.	A	Dividend	K	T	Buy (add'l)	11/15/16	J		
64. -iShares Russell 1000 Growth	A	Dividend			Sold	11/28/16	K	A	
65. -Johnson & Johnson	A	Dividend	J	T	Sold (part)	10/04/16	J	A	
66. -Kraft Heinz	A	Dividend	K	T					
67. -Lazard		None			Sold (part)	01/13/16	J		
68.					Sold (part)	01/14/16	J		

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69.					Sold (part)	01/15/16	J		
70.					Sold (part)	01/19/16	J		
71.					Sold	01/20/16	J		
72. -Las Vegas Sands		None			Sold	01/15/16	K		
73. -Lauder Estee Cos.	A	Dividend	J	T					
74. -Mastercard					Buy (add'l)	01/11/16	J		
75.	A	Dividend	K	T	Sold (part)	10/04/16	J	A	
76. -McKesson	A	Dividend			Sold (part)	10/04/16	J		
77.					Sold	11/14/16	J		
78. -MFS Value FD Cl 1	B	Dividend	L	T	Distributed (part)	12/14/16	J	B	
79. -Microsoft Corp.	A	Dividend	K	T	Sold (part)	10/04/16	J	A	
80. -Mondelez Intl	A	Dividend	K	T					
81. -Monsanto New Com.	A	Dividend	K	T	Buy (add'l)	09/13/16	J		
82. -Morgan Stanley	A	Dividend			Sold	06/28/16	J		
83. -Priceline	A	Dividend	J	T					
84. -Raytheon					Buy	11/28/16	J		
85.	A	Dividend	J	T	Buy (add'l)	11/29/16	J		

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86. -Regeneron Pharma		None	K	T	Buy (add'l)	06/03/16	J		
87. -Salesforce Com. Inc.		None	J	T	Buy (add'l)	11/14/16	J		
88. -Schwab Charles	A	Dividend	J	T	Buy	06/28/16	J		
89. -SPDR S&P Dividend ETF	C	Dividend	M	T	Distributed (part)	12/30/16	J	A	
90. -Starbucks	A	Dividend	J	T					
91. -Target	B	Dividend	K	T					
92. -TCW Select Equities FD C1 1		None	L	T	Distributed (part)	12/14/16	J	B	
93. -Tesla Motors		None	J	T					
94. -TJX Cos.	A	Dividend	K	T					
95. -Union Pacific	B	Dividend	L	T					
96. -Verizon Com.	A	Dividend	J	T	Sold (part)	10/04/16	J	A	
97. -Zoetis Inc.	A	Dividend	J	T	Sold (part)	10/04/16	J	A	
98. -Amphenol	A	Dividend	J	T	Sold (part)	10/04/16	J	A	
99. -Church & Dwight	A	Dividend	K	T	Sold (part)	10/04/16	J	A	
100. -Cimarex Energy					Buy	12/07/16	J		
101.	A	Dividend	J	T	Buy (add'l)	12/15/16	J		
102. -Hanesbrands	A	Dividend			Buy (add'l)	01/27/16	J		

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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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103.					Buy (add'l)	01/28/16	J		
104.					Buy (add'l)	02/10/16	J		
105.					Buy (add'l)	04/13/16	J		
106.					Buy (add'l)	04/14/16	J		
107.					Sold	10/18/16	J		
108. -Hexcel		None			Sold (part)	01/27/16	J		
109.					Sold (part)	01/28/16	J		
110.					Sold (part)	01/29/16	J		
111.					Sold (part)	02/01/16	J	A	
112.					Sold (part)	02/02/16	J	A	
113.					Sold	02/03/16	J	A	
114. -Hunt JB Trans.	A	Dividend	J	T					
115. -Jacobs Engr Grp		None	J	T	Buy	11/28/16	J		
116. -New Oriental Ed & Tech ADR		None			Buy (add'l)	08/31/16	J		
117.					Buy (add'l)	09/01/16	J		
118.					Buy (add'l)	09/13/16	J		
119.					Sold	12/07/16	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

Drain, Robert D.

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03/27/2018

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -Palo Alto Networks		None			Buy	04/13/16	J		
121.					Buy (add'l)	05/18/16	J		
122.					Buy (add'l)	05/19/16	J		
123.			J	T	Sold (part)	10/18/16	J	B	
124. -Quanta Svcs Inc.		None			Sold (part)	01/27/16	J		
125.					Sold (part)	01/28/16	J		
126.					Sold (part)	01/29/16	J		
127.					Sold (part)	02/01/16	J		
128.					Sold (part)	02/02/16	J		
129.					Sold	02/03/16	J		
130. -Renaissance Hldgs.	A	Dividend	J	T	Sold (part)	11/02/16	J	A	
131. -Stericycle		None			Buy	04/13/16	J		
132.					Buy (add'l)	04/14/16	J		
133.					Sold (part)	10/04/16	J		
134.					Sold	10/05/16	J		
135. -Vanguard Mid-Cap ETF	B	Dividend	M	T					
136. -Acadia Healthcare		None			Buy	03/23/16	J		

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

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Name of Person Reporting

Drain, Robert D.

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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.					Buy (add'l)	03/24/16	J		
138.					Buy (add'l)	03/28/16	J		
139.					Buy (add'l)	03/29/16	J		
140.					Buy (add'l)	03/30/16	J		
141.					Buy (add'l)	03/31/16	J		
142.					Buy (add'l)	04/01/16	J		
143.					Buy (add'l)	04/04/16	J		
144.					Buy (add'l)	04/13/16	J		
145.					Buy (add'l)	04/14/16	J		
146.					Buy (add'l)	04/15/16	J		
147.					Buy (add'l)	04/18/16	J		
148.					Buy (add'l)	04/19/16	J		
149.			J	T	Buy (add'l)	11/09/16	J		
150. -Dynavax Techonogies		None			Buy (add'l)	01/12/16	J		
151.					Sold (part)	09/12/16	J		
152.					Sold (part)	09/13/16	J		
153.					Sold (part)	09/14/16	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

Drain, Robert D.

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03/27/2018

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.					Sold	09/15/16	J		
155. -Enstar Grp. Ltd.		None	J	T					
156. -SM Energy	A	Dividend	J		Buy	12/07/16	J		
157.				T	Buy (add'l)	12/15/16	J		
158. -Actelion Ltd	A	Dividend	K	T	Sold (part)	12/15/16	J	A	
159. -Allergan PLC		None			Buy (add'l)	01/25/16	J		
160.					Sold (part)	10/04/16	J		
161.					Sold (part)	10/05/16	J		
162.					Sold	11/14/16	K		
163. -Anheuser Busch Inbev	A	Dividend	J	T					
164. -Core Labs					Buy (add'l)	05/25/16	J		
165.					Buy (add'l)	05/26/16	J		
166.	A	Dividend	J	T	Buy (add'l)	05/27/16	J		
167. -CTrip Com Intl		None			Buy	10/27/16	J		
168.			J	T	Buy (add'l)	11/02/16	J		
169. -Dassault Systemes		None			Sold (part)	08/31/16	J	A	
170.			J	T	Sold (part)	09/01/16	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 \$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	

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Drain, Robert D.

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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)
171. -Diageo ADR					Buy	10/27/16	J		
172.	A	Dividend	J	T	Buy (add'l)	10/28/16	J		
173. -Fanuc Corp.		None	J	T					
174. -Hitachi		None			Sold	04/14/16	J		
175. -Keyence Corp.		None	K	T	Sold (part)	05/19/16	J	B	
176. -Kuka AG		None			Sold (part)	02/24/16	J	A	
177.					Sold (part)	01/25/16	J	A	
178.					Sold (part)	02/29/16	J	A	
179.					Sold (part)	03/01/16	J	A	
180.					Sold (part)	03/02/16	J	B	
181.					Sold (part)	05/24/16	J	C	
182.					Sold (part)	05/25/16	J	B	
183.					Sold (part)	05/26/16	J	B	
184.					Sold (part)	06/03/16	J	B	
185.					Sold (part)	06/06/16	J	A	
186.					Sold (part)	06/07/16	J	A	
187.					Sold (part)	06/08/16	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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Drain, Robert D.

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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.					Sold (part)	06/09/16	J	A	
189.					Sold (part)	05/10/16	J	B	
190.					Sold	06/13/16	J	A	
191. -Line Corp		None			Buy	10/20/16	J		
192.					Buy (add'l)	10/21/16	J		
193.			J	T	Buy (add'l)	10/28/16	J		
194. -LyondellBasell	A	Dividend	K	T					
195. -Mobileye NV		None			Sold (part)	08/31/16	J		
196.			J	T	Sold (part)	09/01/16	J		
197. -Nidec Corp.		None	K	T	Sold (part)	11/04/16	J	B	
198. -Novo-Nordisk ADR	A	Dividend			Sold (part)	03/23/16	J	A	
199.					Sold (part)	03/24/16	J	A	
200.					Sold (part)	03/28/16	J	A	
201.					Sold (part)	03/29/16	J	A	
202.					Sold (part)	03/30/16	J	A	
203.					Sold (part)	03/31/16	J	A	
204.					Sold (part)	04/01/16	J	A	

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

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Name of Person Reporting

Drain, Robert D.

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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)
205.					Sold (part)	04/04/16	J	A	
206.					Sold (part)	08/11/16	J	A	
207.					Sold	08/12/16	J	B	
208. -Novozymes		None	J	T	Sold (part)	11/02/16	J		
209. -NXP Semiconductors		None	J	T					
210. -Onex	A	Dividend	K	T	Sold (part)	11/02/16	J	A	
211. -Roch Hldgs		None	J	T					
212. -Softbank		None	J	T	Sold (part)	11/04/16	J		
213. -Valeant Pharmaceuticals Intl.		None			Sold	03/01/16	J	A	
214. -Alibaba ADS		None	J	T	Sold (part)	10/27/16	J	A	
215. -Icici Bank Ltd ADR	A	Dividend	J	T					
216. -JD Com ADR		None			Sold (part)	11/02/16	J		
217.			J	T	Sold (part)	11/03/16	J		
218. -Tencent Hldgs		None	K	T	Buy (add'l)	01/29/16	J		
219. -NY NY Go Ref BDS	C	Interest	M	T					
220. -Babylon NY Pub Impt BDS	C	Interest	M	T					
221. -North Hempstead NY Pub Impt BDS	C	Interest	M	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

Drain, Robert D.

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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)

222. -Port Auth NY & NJ CONS BDS OID 2012	C	Interest	M	T					
223. -NY St. Dorm Auth Pers BDS 2022	C	Interest	L	T					
224. -BofA Tax Exempt Reserves					Distributed (part)	01/22/16	J		
225.					Distributed (part)	02/17/16	J		
226.					Distributed (part)	04/13/16	K		
227.					Distributed (part)	04/21/16	K		
228.					Distributed (part)	09/30/16	K		
229.					Distributed (part)	11/29/16	J		
230.	A	Interest	J	T	Distributed (part)	12/21/16	K		
231. -Blackrock Liquidity Fed Fund	A	Interest	K	T	Buy	03/23/16	K		
232. US Trust managed IRA Rollover Account (no control)									
233. -BofA Money Market Savings	A	Interest	L	T					
234. -Col. Dividend Income Fd					Buy	03/14/16	K		
235.	A	Interest	K	T	Buy (add'l)	09/01/16	J		
236. -Col. Select Large Cap Growth Fd CI Z		None	M	T					
237. -iShares Core S&P 500 ETF		None			Sold	01/13/16	M		
238. -Natixis Loomis Sayles Growth Fd		None			Buy	03/14/16	K		

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 \$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	

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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)

239.	A	Dividend	K	T	Redeemed (part)	09/01/16	J	A	
240. -Oakmark Select Fd C1 1					Buy (add'l)	01/11/16	J		
241.					Redeemed (part)	03/14/16	J		
242.	A	Dividend	K	T	Redeemed (part)	09/01/16	J		
243. -Vanguard S&P 500 ETF					Buy	01/13/16	M		
244.					Sold (part)	03/14/16	L	C	
245.					Sold (part)	06/01/16	J	A	
246.	B	Dividend	M	T	Buy (add'l)	09/01/16	J		
247. -Baird Midcap Fd Instl		None			Buy	01/11/16	J		
248.			J	T	Buy (add'l)	03/14/16	J		
249. -Ishares Core S&P Mid Cap ETF		None			Sold	01/13/16	M		
250. -Ishares Russell Mid Cap ETF					Sold (part)	01/13/16	J		
251.	A	Dividend	K	T	Sold (part)	03/14/16	J	A	
252. -MFS Mid Cap Value Fd C1 1					Sold (part)	01/11/16	J		
253.	A	Dividend	J	T	Buy (add'l)	03/14/16	J		
254. -Ishares Russell 2000 ETF					Sold (part)	01/13/16	J		
255.					Sold (part)	06/01/16	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 \$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	

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Name of Person Reporting

Drain, Robert D.

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03/27/2018

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

256.	A	Dividend	J	T	Sold (part)	09/01/16	J	A	
257. -Touchstone Small Cap Growth Fd		None			Buy (add'l)	01/11/16	J		
258.					Redeemed (part)	06/01/16	J		
259.			J	T	Redeemed (part)	09/01/16	J		
260. -Wells Fargo Special Small Cap Value Fd	A	Dividend	J	T	Buy	09/01/16	J		
261. -DB X-Trackers MSCI EAFE Hedged Equity Fd	A	Dividend			Sold	06/01/16	K		
262. -Invesco Intl Growth Fd					Buy (add'l)	03/14/16	K		
263.					Redeemed (part)	06/01/16	J		
264.					Buy (add'l)	09/01/16	J		
265.	A	Dividend	K	T	Redeemed (part)	10/17/16	J		
266. -iShares Core MSCI EAFE ETF					Buy (add'l)	01/13/16	J		
267.					Sold (part)	03/14/16	K	A	
268.					Buy (add'l)	06/01/16	K		
269.	B	Dividend	K	T	Buy (add'l)	09/01/16	J		
270. -JP Morgan Intl Value Fd					Buy	03/14/16	J		
271.					Redeemed (part)	06/01/16	J	A	
272.					Buy (add'l)	09/01/16	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 \$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	

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Name of Person Reporting

Drain, Robert D.

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03/27/2018

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.	B	Dividend	K	T	Redeemed (part)	10/17/16	J	A	
274. -Wisdomtree Europe Hedged Equity Fd	A	Dividend			Sold	03/14/16	J		
275. -Hartford Mut Fds II Schroders Emerging Mkts	A	Dividend	K	T	Buy	10/31/16	K		
276. -iShares Core MSCI Emerging Mkts					Buy	01/11/16	J		
277.					Buy (add'l)	03/16/16	J		
278.					Buy (add'l)	06/01/16	J		
279.					Sold (part)	09/01/16	J	A	
280.					Sold (part)	09/06/16	J		
281.					Buy (add'l)	10/17/16	J		
282.	A	Dividend	K	T	Sold (part)	10/19/16	J		
283. -Schroder Emerging Market Equity Fd					Buy (add'l)	01/11/16	J		
284.					Redeemed (part)	03/14/16	J		
285.					Buy (add'l)	06/01/16	J		
286.					Redeemed (part)	09/01/16	J		
287.					Buy (add'l)	10/17/16	J		
288.					Merged (with line 275)	10/31/16	K		
289. -iShares Core US Aggregate Bond ETF	A	Dividend	J	T	Buy	06/01/16	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 \$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	

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Name of Person Reporting

Drain, Robert D.

Date of Report

03/27/2018

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)
290. -AQR Diversified Arbitrage Fd	A	Dividend	J	T	Buy	01/11/16	J		
291. -AQR Managed Futures Strategy Fd					Buy	01/11/16	J		
292.	A	Dividend	J	T	Buy (add'l)	09/01/16	J		
293. -Arbitrage Fd		None	J	T	Buy	01/11/16	J		
294. -Blackrock Global Long Short Fd		None			Buy	01/11/16	J		
295.			J	T	Buy (add'l)	09/01/16	J		
296. -Goldman Sachs Strategic Income Fd		None			Sold (part)	01/11/16	J		
297.					Sold	06/01/16	J		
298. -Legg Mason BW Absolute Return Opp. Fd		None	J	T	Buy	01/11/16	J		
299. -Neuberger Berman Long Short Fd		None	J	T	Buy	01/11/16	J		
300. -Robeco Boston Partners Long Short Res Fd		None	J	T	Buy	01/11/16	J		
301. -Apple Sr Unsecd Nt	A	Interest	K	T	Buy	10/25/16	L		
302. -Berkshire Hathaway Fin Corp Gtd Sr Nt.	B	Interest	L	T					
303. -Citigroup Inc Unsecd Sr. Nt	A	Interest	K	T					
304. -JPMorgan Chase Sr Unsecd Nt	A	Interest	K	T					
305. -Walmart Stores Sr. Unsecd Nt	A	Interest	K	T					
306. -Col. Income Opp. Fd C1 Z	B	Dividend			Redeemed	10/20/16	L	E	

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 \$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	

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Name of Person Reporting

Drain, Robert D.

Date of Report

03/27/2018

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) 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)
307. -CMG Ultra Short Term Bond Fd	B	Interest	M	T	Buy (add'l)	10/20/16	K		
308. -Goldman Sachs Absolute Return Tracker Fd		None			Sold	01/11/16	K		
309. -Hatteras Alpha Hedged Strategies Fd		None			Sold	01/11/16	K		
310. -Prudential Global Real Estate Fd Cl Z	A	Dividend	K	T	Buy (add'l)	10/17/16	J		
311. -Vanguard REIT ETF					Sold (part)	09/01/16	J	A	
312.	A	Dividend	K	T	Buy (add'l)	10/19/16	J		
313. -Credit Suisse Commodity-Return Fd		None			Buy (add'l)	06/01/16	J		
314.			K	T	Buy (add'l)	09/01/16	J		
315. Fifth Third Bancorp common	A	Int./Div.	J	T					
316. US Trust IRA (no control)									
317. -BoFA Money Market	A	Interest	K	T					
318. -SPDR S&P Div. ETF	B	Dividend	K	T					
319. -SPDR S&P 500 ETF	C	Dividend	M	T					
320. -Vanguard Mid-Cap ETF	A	Dividend	J	T					
321. -Vanguard Small-Cap ETF	A	Dividend	J	T					
322. -US Treas Strips	B	Interest	L	T					
323. -Col. Select Large Cap Growth Fd Cl. Z		None	L	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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Name of Person Reporting

Drain, Robert D.

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03/27/2018

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) 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. -CMG Ultra Short Term Bond Fd	A	Interest	K	T					
325. NYS 529 savings program #1-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Buy	09/09/16	L		
326.					Distributed (part)	09/09/16	K		
327.					Distributed (part)	09/13/16	J		
328. NYS 529 savings program #2-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Distributed (part)	08/31/16	K		
329.					Distributed (part)	09/09/16	J		
330.					Distributed (part)	12/21/16	J		
331. NYS 529 savings program #3-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Distributed (part)	09/09/16	L		
332.					Distributed (part)	10/10/16	J		

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

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Name of Person Reporting

Drain, Robert D.

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

1. Part VII, lines 4-234, columns B and C. The U.S. Trust-managed account described as a header on line 4 is held and managed by U.S. Trust as a fiduciary for my wife and me. It is not a personal brokerage or financial management account. We have no discretion with respect to any of the individual assets in the account, which are listed in lines 5-234. Instead, U.S. Trust makes each investment, buy or sell decision with respect to the individual assets in the account. We are able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
2. Part VII, lines 235-317, columns B and C. The U.S. Trust-managed account described as a header on line 235 is held and managed by U.S. Trust as a fiduciary for me. It is not a personal brokerage or financial management account. I have no discretion with respect to any of the individual assets in the account, which are listed in lines 236-317. Instead, U.S. Trust makes each investment buy or sell decision with respect to the individual assets in the account. I am able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
3. Part VII, lines 319-327, columns B and C. The U.S. Trust-managed account described as a header on line 307 is held and managed by U.S. Trust as a fiduciary for my wife. It is not a personal brokerage or financial management account. My wife has no discretion with respect to any of the individual assets in the account, which are listed in lines 320-327. Instead, U.S. Trust makes each investment buy or sell decision with respect to the individual assets in the account. My wife is able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
4. In line 74 of my 2015 FDR I erroneously listed the asset "Fereeye" as having been "Sold in part." In fact, it should have been listed as "Sold," which is why it does not appear in my current 2016 FDR.

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Name of Person Reporting

Drain, Robert D.

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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/ **Robert D. Drain**

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

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