

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 10/25/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Bankruptcy Court, S.D.N.Y. 300 Quarropas Street 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.)

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.	
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. 02/05/2010	St. Johns University School of Law LL.M seminar	\$3000.00
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.	
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. Southern District of Fla. Bankruptcy Bar Association	5/10/12-5/13/12	Fort Myers, FL	Speaker	Speaker at annual bankruptcy bar association conference (Transportation, Hotel, Food)
2. Cleveland Metro Bar Association (O'Neil Institute)	5/15/12-5/16/12	Cleveland, OH	Speaker	Speaker at annual bar association conference on bankruptcy issues (Transportation, Hotel, Food)
3. Georgetown University Law Center/American Bankruptcy Institute	10/05/12-10/06/12	Washington, DC	Speaker	Speaker at annual "views from the bench" conference on bankruptcy issues (Transportation, Food)
4. American Bankruptcy Institute	10/25/12-10/27/12	San Diego, CA	Speaker	Speaker at annual conference on bankruptcy issues (Transportation, Hotel, Food)

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5.	University of Texas School of Law/American Bankruptcy Institute	11/08/12-11/09/12	Austin, TX	Speaker	Speaker at annual conference on bankruptcy issues (Transportation, Hotel, Food)
6.	National Association of Women Judges	11/09/12-11/10/12	Miami, FL	Speaker	Speaker on judicial cooperation at annual judges conference (Transportation, Hotel, Food)
7.	USRussia Foundation	11/10/12-11/16/12	Moscow, Russia and Tyumin, Russia	Speaker, Conferee	Speaker and conferee in series of conferences and classes with Russian judges and students (Transportation, Hotel, 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 #1	A	Interest	K	T					
2. Citibank Account #2	A	Interest	J	T					
3. Access Financial Account #1	B	Int./Div.	L	T	Sold (part)	05/23/12	L		
4. -Access Financial Account #1					Sold (part)	08/16/12	K		
5. Access Financial Account #2	A	Interest	L	T					
6. Access Financial Account #3	A	Interest	J	T	Sold (part)	05/23/12	L		
7. FifthThird Bancorp common	A	Dividend	J	T					
8. US Trust Managed US TCommon Account (no control)	F	Int./Div.	P1	T					See note in Part VIII
9. -Air Prods & Chems					Sold	11/08/12	K	D	
10. -Amazon					Buy (add'l)	02/08/12	J		
11. -Amazon					Buy (add'l)	02/24/12	J		
12. -Amazon					Buy (add'l)	03/19/12	J		
13. -Apache					Sold	07/31/12	K	C	
14. -AT&T					Sold	07/31/12	K	D	
15. -CA Inc.					Sold	07/31/12	J	B	
16. -Cameron Int'l					Sold	07/31/12	K	D	
17. -Citigroup					Buy (add'l)	01/17/12	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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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 I (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. -Citigroup					Buy (add'l)	01/26/12	J		
19. -Citigroup					Sold (part)	03/15/12	J		
20. -Citigroup					Sold	07/31/12	K		
21. -Col. Select Large Cap Growth FD Class Z									
22. -Col. Value & Restr. FD Class Z					Redeemed (part)	02/28/12	J	C	
23. -Col. Value & Restr. FD Class Z					Redeemed	11/27/12	M	G	
24. -Comcast					Sold (part)	03/26/12	J	B	
25. -CVS Caremark					Sold (part)	04/11/12	J	B	
26. -CVS Caremark					Sold	07/31/12	K	D	
27. -Ebay									
28. -EMC									
29. -Emerson Elec.					Buy	02/24/12	K		
30. -Emerson Elec.					Sold	11/08/12	L	E	
31. -Express Scripts					Sold (part)	02/08/12	J	A	
32. -Express Scripts					Sold (part)	02/24/12	J	B	
33. -Express Scripts					Sold	07/31/12	K	D	
34. -Exxon Mobil									

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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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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)
35. -Gilead Sciences					Sold	07/31/12	K	C	
36. -Google									
37. -Hess					Sold	07/31/12	J		
38. -Home Depot					Sold (part)	02/24/12	J	B	
39. -Home Depot					Sold	03/19/12	J	C	
40. -Humana					Sold	07/31/12	J	A	
41. -JPMorgan Chase					Buy	01/26/12	K		
42. -JPMorgan Chase					Sold (part)	03/19/12	J	A	
43. -JPMorgan Chase					Sold	07/31/12	K		
44. -Khol					Buy	03/19/12	K		
45. -Khol					Sold	07/31/12	K		
46. -Kraft Foods					Sold (part)	02/24/12	J	B	
47. -Marsh & McLennan					Buy (add'l)	02/02/12	J		
48. -Marsh & McLennan					Sold	07/31/12	K	A	
49. -Merck					Sold	08/21/12	L	D	
50. -Mondelez Intl					Buy	11/15/12	J		
51. -Monsanto					Sold	09/10/12	K	D	

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52. -Morgan Stanley					Buy (add'l)	01/17/12	J		
53. -Morgan Stanley					Sold	07/31/12	J		
54. -National Oilwell Varco									
55. -Nielsen Hldgs NV					Sold	09/10/12	J	A	
56. -Oracle					Sold	07/31/12	K	D	
57. -Pepsico					Sold	08/21/12	K	C	
58. -Pfizer					Sold	07/31/12	J	B	
59. -PG&E					Sold	07/31/12	K	B	
60. -Progressive					Sold	07/31/12	K		
61. -Public SVC Ent.					Sold	08/21/12	K	B	
62. -Qualcomm					Sold	07/31/12	K	C	
63. -SPDR S&P Dividend ETF					Sold (part)	01/17/12	L	B	
64. -Target									
65. -Thermo Fisher					Buy	01/17/12	J		
66. -Thermo Fisher					Sold	07/31/12	J	A	
67. -Union Pac									
68. -VISA					Sold	07/31/12	K	D	

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69. -Walmart					Buy	04/11/12	K		
70. -Walmart					Sold	07/31/12	K	D	
71. -Wells Fargo					Sold	01/26/12	K	B	
72. -AES					Sold	07/31/12	J	B	
73. -Analog Devices					Sold	02/06/12	J	B	
74. -Baidu ADR					Buy (add'l)	03/19/12	J		
75. -Baidu ADR					Sold	07/31/12	J		
76. -BE Aerospace					Sold	07/31/12	K	B	
77. -Cimarex Energy					Sold	07/31/12	J	B	
78. -Denbury Res					Sold	02/02/12	J	B	
79. -Dover					Sold	07/31/12	J	C	
80. -Electronic Arts					Buy (add'l)	02/08/12	J		
81. -Electronic Arts					Buy (add'l)	03/19/12	J		
82. -Electronic Arts					Sold	07/31/12	J		
83. -Energizer Hldgs					Sold	07/31/12	J		
84. -FifthThird Bancorp					Sold	01/26/12	K	C	
85. -First Rep Bk, San Fran					Buy (add'l)	04/02/12	J		

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86. -First Rep Bk, San Fran					Sold	07/31/12	K	B	
87. -Fiserv					Sold	02/08/12	J	C	
88. -Goodyear Tire					Sold (part)	02/08/12	J	B	
89. -Goodyear Tire					Sold	07/31/12	J		
90. -Intercontinental Exchange					Sold	04/02/12	J	B	
91. -Invesco Ltd.					Buy (add'l)	01/17/12	J		
92. -Invesco Ltd.					Sold (part)	02/02/12	J	A	
93. -Invesco Ltd.					Sold (part)	03/02/12	J	A	
94. -Invesco Ltd.					Sold	07/31/12	J	A	
95. -LAM Reaseach					Buy	02/06/12	J		
96. -LAM Research					Buy (add'l)	05/10/12	J		
97. -LAM Research					Sold	07/31/12	J		
98. -New Oriental ADR					Buy	01/17/12	J		
99. -New Oriental ADR					Sold	07/31/12	J		
100. -Peabody Energy					Buy (add'l)	01/17/12	J		
101. -Peabody Energy					Buy (add'l)	01/19/12	J		
102. -Peabody Energy					Sold	03/15/12	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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103. -Principal Finl					Sold	08/21/12	J	A	
104. -Rovi					Buy (add'l)	01/17/12	J		
105. -Rovi					Buy (add'l)	02/08/12	J		
106. -Rovi					Sold	05/10/12	J		
107. -Skyworks Solutions					Buy (add'l)	01/17/12	J		
108. -Skyworks Solutions					Buy (add'l)	03/19/12	J		
109. -Skyworks Solutions					Sold	07/31/12	K	C	
110. -SLM					Sold	07/31/12	J	B	
111. -Weight Watchers					Sold	07/31/12	J		
112. -Weyerhaeuser					Buy	01/17/12	J		
113. -Weyerhaeuser					Sold (part)	02/02/12	J	A	
114. -Weyerhaeuser					Sold	03/14/12	J	A	
115. -Casey's Gen Stores					Sold	04/11/12	K	D	
116. -Collective Brands					Sold	03/19/12	K	B	
117. -Columbia Select Small Cap FD Class Z					Redeemed (part)	02/28/12	J	A	
118. -Comstock Res					Buy	02/02/12	J		
119. -Comstock Res					Sold	07/31/12	J	C	

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.

Date of Report

10/25/2013

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. -Earthlink					Buy	03/14/12	J		
121. -Earthlink					Buy (add'l)	03/15/12	J		
122. -Earthlink					Buy (add'l)	03/16/12	J		
123. -Earthlink					Buy (add'l)	05/10/12	J		
124. -Earthlink					Sold	07/31/12	J		
125. -Insulet					Sold	07/31/12	J	B	
126. -Tennant					Sold	07/31/12	J		
127. -Vera Bradley					Buy	03/26/12	J		
128. -Vera Bradley					Sold	07/31/12	J		
129. -Alkermes PLC					Sold	07/31/12	J	A	
130. -Covidien PLC					Sold	07/31/12	K	C	
131. -Ericsson ADR					Buy	02/08/12	J		
132. -Ericson ADR					Buy (add'l)	05/10/12	J		
133. -Ericson ADR					Sold	07/31/12	J		
134. -ITAU Unibanco Hlds ADR					Sold	07/31/12	J		
135. -Siemens ADR					Sold	09/10/12	K	D	
136. -Tyco Int'l					Sold	07/31/12	K	C	

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.

Date of Report

10/25/2013

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. -Unilever ADR					Sold	07/31/12	K	C	
138. -HDFC BK ADR					Sold	07/31/12	J	A	
139. -iShares MSCI Emerging Mkts Index FD									
140. -Teva Pharmaceutical ADR					Buy (add'l)	02/08/12	J		
141. -Teva Pharmaceutical ADR					Sold	07/31/12	J		
142. -Vale ADR					Buy (add'l)	01/17/12	J		
143. -Vale ADR					Sold	07/31/12	J		
144. -Col. US Govt. Mtg Fd C1 Z					Buy	09/14/12	N		
145. -Port Auth NY & NJ CONS BDS-OID 2018									
146. -NY NY Go Ref BDS									
147. -Babylon NY Pub Impt BDS									
148. -North Hempstead NY Pub Impt BDS									
149. -Port Auth NY & NJ CONS BDS OID 2021									
150. -NY St Dorm Auth St. Pers BDs 2022									
151. -Col Short Term Mun. BD Fd C1 Z					Buy	09/14/12	N		
152. -American Tower					Buy (add'l)	03/14/12	J		
153. -American Tower					Sold	01/31/12	K	D	

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.

Date of Report

10/25/2013

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. -Digital Rlty REITs					Sold	07/31/12	K	C	
155. -BofA Tax Exempt Reserves					Distributed (part)	01/04/12	J		
156. -BofA Tax Exempt Reserves					Distributed (part)	02/28/12	K		
157. -BofA Tax Exempt Reserves					Distributed (part)	07/10/12	K		
158. -BofA Tax Exempt Reserves					Buy (add'l)	07/10/12	K		
159. -BofA Tax Exempt Reserves					Buy (add'l)	07/31/12	O		
160. -BofA Tax Exempt Reserves					Buy (add'l)	12/12/12	K		
161. US Trust managed IRA Rollover Account (no control)	B	Int./Div.	O	T					See note in part VIII
162. -BofA Money Market Savings									
163. -Aston Montag & Caldwell Growth Fd. Cl 1					Buy	11/28/12	K		
164. -Col Dividend Income FD CL Z									
165. -MFS Value Fd. Cl 1					Buy	11/28/12	K		
166. -TCW Select Equities Fd. Cla 1					Buy	11/28/12	K		
167. -Col Select Large Cap Growth FD CL Z									
168. -Col Vlaue & Restr. FD CL Z					Redeemed	11/28/12	M	E	
169. -Col Select Small Cap FD CL Z									
170. -IShares MSCI Emerging Mkts FD									

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

10/25/2013

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. -Walmart Stores									
172. -Bank of NY Med. Term. Sr. Nt.									
173. -Berkshire Hathaway Fin Corp. Gtd. Sr. Nt.									
174. -CMB Ultra Short Term Bd. Fd.					Buy	08/08/12	J		
175. -Col. Corp. Income Fd. Class Z					Buy	08/08/12	J		
176. -Col Income Op. Fd. Class Z					Buy	08/08/12	K		
177. -Col. Strat. Income Fd. Class Z					Buy	08/08/12	J		
178. -Col. US Govt Mtg. Fd. Class Z					Buy	08/08/12	L		
179. -Fidelity Advisor Floating Rt. High Income Fd.					Buy	08/08/12	J		
180. -Pimco Total Return Fd.					Buy	08/08/12	K		
181. -Pimco Commodity Real Return Strategy FD									
182. FifthThird Bancorp common	A	Dividend	J	T					
183. US Trust IRA (no control)	A	Dividend	N	T					See note in part VIII
184. -BoFA Money Market									
185. -Col. Select Large Cap Growth Fd. Class Z									
186. -SPDR S&P Div. ETF									
187. -SPDR S&P 500 ETF									

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.

Date of Report

10/25/2013

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. -US Treas Strips									
189. NY 529 savings program #1		None	K	T	Buy (add'l)	07/27/12	J		
190. NY 529 savings program #2		None	L	T	Buy (add'l)	07/27/12	J		
191. NY 529 savings program #3		None	M	T	Buy (add'l)	07/27/12	J		
192. John Hancock Invst. Tr. II (Y)									
193. Blackrock MuniHoldings INSD FD (Y)									
194. Mastercard (Y)									
195. SEI (Y)									
196. SPX (Y)									
197. NYSE Euronext (Y)									

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.

Date of Report

10/25/2013

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

1. Part VII, lines 8-161, columns B and C. The U.S. Trust-managed account described on line 8 is held and managed in trust by U.S. Trust as a fiduciary [REDACTED]. 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 9--161. Instead, U.S. Trust makes each investment, buy or sell decision with respect to the individual assets in the account. We are able only 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 162-182, columns B and C. The U.S. Trust-managed IRA rollover account described in line 162 is held and managed in trust by U.S. Trust as a fiduciary for me with respect to the rollover of my former pension and 401(k) accounts. As with the account described on line 8 of Part VII and above, I have no discretion with respect to any of the individual assets in the account, which are listed in lines 162-182, with the exception of 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 184-189, columns B and C. The U.S. Trust-managed IRA rollover account described in line 184 is held and managed by U.S. Trust as a fiduciary for [REDACTED] with respect to the rollover of [REDACTED] former 401(k) account. As with the accounts described in lines 8 and 162 of Part VII and above, she has no discretion with respect to any of the individual assets in the account, which are listed in lines 185-189, with the exception of 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. Part VII lines 192-193. These two investments should have been listed as sold in my 2012 Report. The sale dates were 11/10/2011 (John Hancock Inv. Tr. II, line 192) and 2/14/11 (Blackrock Muniholdings INSD FD, line 193). There was no gain in either transaction.
5. Part VII lines 194-197. These four investments were listed in lines 420 (Mastercard), 342 (SEI), 343 (SPX) and 340 (NYSE Euronext) of my 2012 Report as partial sales when, in fact, they were completely sold. The remaining information on these lines in the 2012 Report is accurate.
6. The September 25, 2013 inquiry letter from Hon. Joseph H. McKinley, Jr. states that Loews Cos. was last listed in line 75 of my 2012 Report and inquired why it was not listed in my 2013 Report; however, Loews Cos. is listed in line 250 of my 2012 Report as having been sold. For that reason it doesn't appear in my 2013 Report.

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Name of Person Reporting

Drain, Robert D.

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10/25/2013

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