

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 02/12/2020
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address United States Bankruptcy Court, S.D.N.Y. 300 Quarropas St. White Plains, New York 10601		
IMPORTANT NOTES: <i>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>		

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. Adjunct Professor	Pace University School of Law
4. Chair	Judicial Insolvency Network
5. Trustee	Margenne N. Drain Revocable Trust

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.	University of British Columbia	2/7/2018 - 2/11/2018	Vancouver, BC, Canada	Speaker at bankruptcy law conference; judge at international moot court	Airfare, hotel, food, other transportation, parking
2.	American Bankruptcy Institute	4/19/2018 - 4/22/2018	Washington, DC	Speaker at bankruptcy law conference	Auto mileage, food, parking
3.	Practcing Law Institute	4/24/2018 - 4/24/2018	New York, NY	Speaker at Bankruptcy CLE program	Traing, food
4.	American Bankruptcy Institute	5/24/2018 - 5/24/2018	New York, NY	Speaker at bankruptcy law conference	Train, food
5.	Hudson Valley bankruptcy Bar Association	9/13/2018 - 9/14/2018	Hyde Park, NY	Speaker at bench/bar conference	Auto mileage, hotel, food

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6.	American Bankruptcy Institute	9/20/2018 - 9/21/2018	Washington, DC	Speaker at views from the bench conference	Train, hotel, food
7.	American Bankruptcy Institute	11/6/2018 - 11/6/2018	New York, NY	Speaker at mid-level professional development program	Train, food
8.	Association of Insolvency & Restructuring Advisors	11/12/2018 - 11/12/2018	New York, NY	Speaker at views from the bench program	Train, food
9.	American Bankruptcy Institute	12/5/2018 - 12/8/2018	Phoenix, AZ	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation, parking
10.					
11.					
12.					
13.					
14.					
15.					

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Citibank Account	A	Interest	K	T					
2. Access Financial Account (Cash and Stock)	B	Int./Div.	K	T					
3. -FifthThird Bancorp common	A	Dividend	J	T					
4. US Trust Managed Common Account (no control); see lines 5-141									
5. -Abiomed Inc		None	J	T	Buy	07/30/18	J		
6. -Activision Blizzard		None			Sold	12/05/18	J		
7. -Alphabet Inc. CL C Com		None	M	T					
8. -Alphabet Inc. CL A Com		None	L	T					
9. -Amazon Com		None	M	T	Sold (part)	07/03/18	J	C	
10.					Sold (part)	08/28/18	J	B	
11. -Apple	A	Dividend	L	T					
12. -Aptiv PLC		None	J	T					
13. -BB&T Corp.	A	Dividend	J	T					
14. -Berkshire Hathaway Cl B		None	K	T					
15. -Booking Hldgs (name changed from Priceline)		None	K	T		02/27/18	J		
16. -Boston Scientific		None	K	T					
17. -Broadcom Inc		None			Buy	05/29/18	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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18.					Buy (add'l)	06/12/18	J		
19.					Sold	12/05/18	J		
20. -Celgene		None			Sold (part)	03/02/18	J		
21.					Sold	05/29/18	J		
22. -Cerner		None			Sold	03/02/18	J	B	
23. -Citigroup	A	Dividend	J	T					
24. -Coca Cola	A	Dividend	J	T	Buy	04/20/18	J		
25.					Sold (part)	07/18/18	J		
26. -Col. Dividend Income FD Cl. Z	B	Int./Div.	L	T					
27. -Col. Select Large Cap Growth FD Cl. Z	D	Distribution	M	T					
28. -Comcast Corp.	B	Dividend	L	T					
29. -Constellation Brands Inc	A	Dividend	J	T	Buy	07/30/18	J		
30.					Sold (part)	07/18/18	J		
31. -Costco Whlsl	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
32. -Danaher	A	Dividend	K	T					
33. -Delphi		None			Sold (part)	02/07/18	J	A	
34.					Sold	02/08/18	J	A	

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35. -Disney Walt Co.	A	Dividend	K	T	Sold (part)	06/05/18	J		
36. -Electronic Arts Inc.	A	Dividend			Buy	01/23/18	J		
37.					Buy (add'l)	06/12/18	J		
38.					Sold	12/05/18	J		
39. -EOG Res	A	Dividend	K	T	Buy (add'l)	11/14/18	J		
40. -Exxon Mobil	B	Dividend	K	T					
41. -Facebook		None	K	T	Sold (part)	02/07/18	J	C	
42.					Sold (part)	03/28/18	J	C	
43. -Fortive	A	Dividend	J	T					
44. -Gilead Sciences	A	Dividend	J	T	Sold (part)	12/05/18	J		
45. -Goldman Sachs	A	Dividend	J	T					
46. -Hershey		None			Sold (part)	04/20/18	J	A	
47.					Sold	04/23/18	J	A	
48. -Home Depot	A	Dividend	K	T					
49. -Intercontinental Exchange	A	Dividend	K	T					
50. -Johnson & Johnson	A	Dividend	J	T					
51. -Kraft Heinz	A	Dividend	J	T					

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52. -Lauder Estee Cos.	A	Dividend	J	T	Sold (part)	07/18/18	J	A	
53. -Mastercard	A	Dividend	L	T	Sold (part)	03/28/18	J	B	
54. -MFS Value FD Cl 1	B	Int./Div.	L	T					
55. -Microsoft Corp.	A	Dividend	K	T					
56. -Mondelez Intl		None			Sold	04/18/18	K	D	
57. -Monsanto New Com.	A	Dividend			Sold	06/07/18	K	C	
58. -Priceline Grp. Inc. (name changed to Booking Hldg)		None				02/27/18	J		
59. -Raytheon	A	Dividend	J	T	Sold (part)	07/30/18	J	B	
60. -Salesforce Com. Inc.		None	K	T					
61. -Schwab Charles	A	Dividend	J	T					
62. -SPDR S&P Dividend ETF	C	Int./Div.	M	T					
63. -Starbucks	A	Dividend	J	T					
64. -TJX Cos.	A	Dividend	K	T					
65. -Union Pacific	B	Dividend	L	T					
66. -United Parcel Cl B	A	Dividend	J	T					
67. -Vanguard Large-Cap ETF	C	Int./Div.	M	T					
68. -Verizon Com.	A	Dividend	J	T					

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69. -Vertex Pharmaceuticals	A	Dividend	J	T	Buy	07/30/18	J		
70. -Zoetis Inc.	A	Dividend	K	T					
71. -Agilent Technologies	A	Dividend	K	T	Buy (add'l)	02/07/18	J		
72.					Buy (add'l)	05/29/18	J		
73. -Albermarle	A	Dividend			Buy (add'l)	02/07/18	J		
74.					Sold	12/05/18	J		
75. -Amphenol	A	Dividend	J	T					
76. -Church & Dwight	A	Dividend	J	T	Sold (part)	04/20/18	J	A	
77.					Sold (part)	04/23/18	J	A	
78.					Sold (part)	07/03/18	J	C	
79.					Sold (part)	07/18/18	J	A	
80. -Cimarex Energy	A	Dividend			Sold	12/05/18	J		
81. -Hasbro Inc.					Buy	08/03/18	J		
82.					Buy (add'l)	08/06/18	J		
83.					Buy (add'l)	08/07/18	J		
84.	A	Dividend			Sold	12/05/18	J		
85. -Hunt JB Trans.	A	Dividend	J	T					

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86. -Jacobs Engr Grp	A	Dividend	K	T					
87. -Leidos Hldgs	A	Dividend	J	T					
88. -SM Energy	A	Dividend			Sold	12/05/18	J		
89. -Teladoc		None	K	T	Buy (add'l)	04/20/18	J		
90.					Buy (add'l)	04/23/18	J		
91.					Buy (add'l)	05/29/18	J		
92.					Buy (add'l)	05/30/18	J		
93.					Buy (add'l)	05/31/18	J		
94.					Buy (add'l)	06/12/18	J		
95. -Vanguard Mid-Cap ETF	C	Int./Div.	M	T					
96. -Wabco Hldgs		None	J	T	Sold (part)	12/05/18	J		
97. -Accenture PLC Cl A	A	Dividend	K	T					
98. -Anheuser Busch Inbev	A	Dividend							
99.					Sold	12/05/18	J		
100. -Asahi Grp		None			Sold	12/07/18	J		
101. -Core Labs	A	Dividend			Sold	12/05/18	J		
102. -CTrip Com Intl		None			Sold	01/23/18	J	A	

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103. -Danone		None			Buy	03/28/18	J		
104.					Buy (add'l)	03/29/18	J		
105.					Buy (add'l)	08/06/18	J		
106.					Sold	12/06/18	J		
107. -Dassault Systemes		None	K	T					
108. -DBS Group Hldgs		None			Buy	02/09/18	J		
109.					Sold	12/07/18	J		
110. -Diageo ADR	A	Dividend	K	T					
111. -Fanuc Corp.		None	J	T	Sold (part)	12/07/18	J		
112. -Ingersoll Rand Ireland	A	Dividend	J	T	Buy	07/30/18	J		
113. -Keyence Corp.		None	K	T	Sold (part)	03/30/18	J	C	
114. -LyondellBasell	A	Dividend	J	T					
115. -Mobileye NV		None			Sold	06/12/18	J	B	
116. -Nidec Corp.		None	J	T	Sold (part)	02/09/18	J	B	
117.					Sold (part)	03/30/18	J	C	
118. -Novozymes		None	J	T					
119. -Onex	A	Dividend	J	T	Sold (part)	03/28/18	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.

Date of Report

02/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. -Roche Hldgs		None	J	T	Sold (part)	12/06/18	J		
121. -Softbank		None	J	T	Sold (part)	12/07/18	J		
122. -Vanguard Total World Stock Index		None	M	T	Buy	12/05/18	L		
123.					Buy (add'l)	12/10/18	L		
124. -Alibaba ADS		None	K	T	Sold (part)	01/26/18	J	A	
125. -China Communications Const. Co Ltd.		None			Sold	12/06/18	J		
126. -Icici Bank ltd ADR	A	Dividend	K	T					
127. -JD Com ADR		None			Sold	11/14/18	J		
128. -Tencent Hldgs		None	K	T	Sold (part)	02/08/18	J	C	
129.					Sold (part)	03/29/18	J	A	
130. -NY NY Go Ref BDS	C	Interest	M	T					
131. -Babylon NY Pub Impt BDS	A	Interest			Matured	01/18/18	L		
132. -North Hempstead NY Pub Impt BDS	C	Interest	L	T					
133. -Port Auth NY & NJ CONS BDS OID 2012	C	Interest	M	T					
134. -NY St. Dorm Auth Pers BDS 2022	C	Interest	M	T					
135. -Syracuse Pub Impt BDS	C	Interest	M	T	Buy	02/07/18	M		
136. -BofA Tax Exempt Reserves	A	Interest	K	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. -Blackrock Liquidity Fed Fund	B	Interest	L	T	Buy (add'l)	01/18/18	L		
138.					Sold (part)	02/08/18	M		
139.					Sold (part)	05/01/18	K		
140.					Buy (add'l)	12/07/18	K		
141.					Buy (add'l)	12/10/18	L		
142. US Trust managed IRA Rollover Account (no control); see lines 143-204									
143. -BofA Money Market Savings	A	Interest	K	T					
144. -IShares S&P 100 ETF	A	Dividend	K	T	Buy	02/02/18	K		
145.					Buy (add'l)	06/25/18	J		
146. -Col. Select Large Cap Growth Fd Cl Z		None	M	T					
147. -MFS Value Fd		None			Redeemed	02/01/18	J	B	
148. -Natixis Loomis Sayles Growth Fd	A	Dividend	J	T	Buy (add'l)	02/02/18	K		
149.					Buy (add'l)	06/25/18	J		
150. -Oakmark Select Fd Cl 1	A	Dividend	K	T	Buy (add'l)	02/02/18	K		
151.					Buy (add'l)	06/25/18	J		
152. -Vanguard S&P 500 ETF	A	Dividend	K	T	Sold (part)	02/02/18	M	E	
153.					Buy (add'l)	06/26/18	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Drain, Robert D.

Date of Report

02/12/2020

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. -Baird Midcap Fd Instl		None	J	T	Sold (part)	04/02/18	J	A	
155.					Buy	06/25/18	J		
156. -iShares Russell Mid Cap ETF	B	Int./Div.	L	T	Sold (part)	02/02/18	J	C	
157.					Sold (part)	04/02/18	J	B	
158.					Buy (add'l)	06/25/18	J		
159. -AQR Diversified Arbitrage Fd		None			Redeemed	02/01/18	J		
160. -AQR Managed Futures Strategy Fd		None			Redeemed	02/01/18	J		
161. -Arbitrage Fd		None			Redeemed	02/01/18	J	A	
162. -Blackrock Global Long Short Fd		None			Redeemed	02/01/18	J	A	
163. -MFS Mid Cap Value Fd Cl 1	A	Dividend	J	T	Sold (part)	04/02/18	J	A	
164.					Buy (add'l)	06/25/18	J		
165. -Conestoga Small Cap Fd		None	K	T	Buy	02/02/18	K		
166. -iShares Russell 2000 ETF	A	Dividend	K	T	Sold (part)	02/02/18	K	B	
167. -Wells Fargo Special Small Cap Value Fd	A	Dividend	K	T	Redeemed (part)	02/01/18	J	A	
168.					Buy (add'l)	06/25/18	J		
169. -Harding Loevner Fds Intl Equity	A	Dividend	K	T	Buy (add'l)	02/02/18	K		
170.					Buy (add'l)	06/25/18	J		

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

02/12/2020

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. -Oakmark Intl Fd	A	Dividend	K	T	Buy (add'l)	02/02/18	K		
172.					Buy (add'l)	06/25/18	J		
173. -Vanguard FTSE Developed Markets ETF	B	Int./Div.	L	T	Sold (part)	02/02/18	L	D	
174.					Buy (add'l)	06/26/18	J		
175. -Hartford Mut Fds II Schroders Emerging Mkts	A	Dividend	K	T	Redeemed (part)	02/01/18	J	B	
176.					Buy (add'l)	06/25/18	J		
177. -Neuberger Berman Long Short Fund		None	K	T	Buy (add'l)	02/02/18	J		
178.					Buy (add'l)	04/02/18	J		
179.					Buy (add'l)	06/25/18	J		
180. -Vanguard FTSE Emerging Markets ETF	B	Dividend	K	T	Sold (part)	02/02/18	J	C	
181.					Buy (add'l)	06/26/18	J		
182. -iShares Core US Aggregate Bond ETF	A	Dividend	J	T	Buy	02/02/18	J		
183.					Buy (add'l)	06/25/18	J		
184. -Abbey Capital Futures Strategy Fd	A	Dividend	J	T	Buy	02/02/18	J		
185.					Buy (add'l)	04/02/18	J		
186.					Buy (add'l)	06/25/18	J		
187. -Blackrock Strategic Income Opportunities	A	Dividend	K	T	Buy (add'l)	02/02/18	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	06/25/18	J		
189. -Boston Parners Long Short Res Fd	A	Dividend	K	T	Buy (add'l)	02/02/18	J		
190.					Buy (add'l)	04/02/18	J		
191.					Buy (add'l)	06/25/18	J		
192. -Legg Mason BW Absolute Return Opp. Fd	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
193.					Buy (add'l)	04/02/18	J		
194.					Buy (add'l)	06/25/18	J		
195. -The Merger Fd	A	Dividend	K	T	Buy	02/02/18	K		
196.					Buy (add'l)	06/25/18	J		
197. -Credit Suisse Commodity-Return Fd	B	Dividend	K	T	Buy	02/02/18	K		
198.					Buy (add'l)	06/25/18	J		
199. -Apple Sr Unsecd Nt	A	Interest	K	T					
200. -Berkshire Hathaway Fin Corp Gtd Sr Nt.	B	Interest	L	T					
201. -Goldman Sachs Sr. Unsecured Nt	A	Interest	K	T					
202. -JPMorgan Chase Sr Unsecd Nt	A	Interest	K	T					
203. -Walmart Stores Sr. Unsecd Nt		None			Sold	01/25/18	K		
204. -CMG Ultra Short Term Bond Fd	B	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Drain, Robert D.

Date of Report

02/12/2020

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. Fifth Third Bancorp common	A	Int./Div.	J	T					
206. US Trust IRA (no control); see lines 207-215									
207. -BofA Money Market	A	Interest	K	T					
208. -SPDR S&P Div. ETF	B	Int./Div.	K	T					
209. -SPDR S&P 500 ETF	C	Int./Div.	M	T					
210. -Vanguard Index Tr Total Stk Mkt	B	Dividend	L	T	Buy	06/22/18	L		
211. -Vanguard Mid-Cap ETF	A	Int./Div.	J	T					
212. -Vanguard Small-Cap ETF	A	Dividend	J	T					
213. -US Treas Strips	B	Interest	L	T					
214. -Col. Select Large Cap Growth Fd Cl. Z		None	L	T					
215. -CMG Ultra Short Term Bond Fd	A	Interest	K	T					
216. US Trust Managed Trust Inv. Account; see lines 21-233									
217. -BofA money market sav. account	A	Interest	K	T	Open	08/13/18	K		
218. -AT&T Inc.	B	Dividend	K	T	Open	08/13/18	K		
219. -Cigna Corp.		None	J	T	Open	08/13/18	J		
220. -Express Scripts Hldg					Open	08/13/18	J		
221.		None			Merged (with line 219)	08/13/18	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.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. -Exxon Mobil	A	Dividend	J	T	Open	08/13/18	J		
223. -General Elec	A	Dividend	J	T	Open	08/13/18	J		
224. -Honeywell Intl	C	Dividend	M	T	Open	08/08/18	M		
225. -SPDR S&P 500 ETF	B	Dividend	K	T	Open	08/13/18	L		
226. -Verizon Comm.	A	Dividend	K	T	Open	08/13/18	K		
227. -Advansix Inc.		None	J	T	Open	08/13/18	J		
228. -Garrett Motion		None	J	T	Spinoff (from line 224)	11/01/18	J		
229. -Residio Technologies		None	J	T	Spinoff (from line 224)	10/29/18	J		
230. -Wal-Mart Sr. Unsecd NT	B	Interest	L	T	Open	08/13/18	L		
231. -Col. Bond Fund Instl 3	D	Interest	M	T	Open	08/13/18	M		
232. -Col. Short Term Bond Fund Instl 3	B	Interest	M	T	Open	08/13/18	M		
233. -Barclays BK Sr. NT UK	C	Interest	L	T	Open	08/13/18	L		
234. Merit Energy Co. gas rights Big Horn County, Wyo.	C	Royalty	L	W	Open	08/13/18	L		
235. reversionary interest in D.C. Apt.		None			Open	08/13/18	N		
236.					Distributed	12/07/18	N		
237. US Trust core checking account 1		None	J	T	Open	08/13/18	L		
238. US Trust Core checking account 2		None	N	T	Open	08/13/18	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239.					Open	08/23/18	L		
240.					Open	12/07/18	N		
241. NYS 529 savings program #1-Moderate Age-Based Option Income Portfolio	B	Int./Div.	J	T					
242. NYS 529 savings program #2-Moderate Age-Based Option Income Portfolio	B	Int./Div.	J	T					
243. NYS 529 savings program #3-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Distributed (part)	10/15/18	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 \$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.)*

Part VII. Investments and Trusts, lines 4, 142, 206 and 206 are headings for the managed investment accounts that contain the investments that follow them, respectively, and are listed in such lines.

Part VII. Investments and Trusts, lines 15 and 58. This was simply a name change; no transaction field covers such an event.

Part VII. Investments and Trusts, lines 216-240 describe assets of the Margenne N. Drain Rev. Trust, of which I am the trustee and holder of one-half beneficial interest in, which passed to me on 8/13/19 upon grantor's death.

Part VII. Investments and Trusts, line 235 reflects 90% cash reversionary interest in April 2004 purchase price under association agreement.

Part VII. Investments and Trusts, line 239 reflects transfer of cash from line 237.

Part VII. Investments and Trusts, line 240 reflects transfer of cash proceeds from lines 235-236.

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Name of Person Reporting

Drain, Robert D.

Date of Report

02/12/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544