

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 5/14/2018
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 01/01/2017 to 12/31/2017
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.	Adjunct Professor	Pace University School of Law
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	Adjunct Professor: Pace University School of Law	\$10,000.00
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bankruptcy Institute	3/2/2017-3/3/2017	Las Vegas, NV	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation, parking
2. American College of Bankruptcy	3/9/2017-3/11/2017	Washington, DC	Induction ceremony and events	Auto mileage, food, parking
3. American Bankruptcy Institute	4/20/2017-4/23/2017	Washington, DC	Speaker at bankruptcy law conference	Auto mileage, food, parking,
4. Practicing Law Institute	4/26/2017-4/26/2017	New York, NY	Speaker at bankruptcy CLE program	Train, food
5. South Florida Bankruptcy Bar Association	5/11/2017-5/14/2017	Bonita Springs, FL	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation, parking

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6.	American Bankruptcy Institute	5/18/2017	New York, NY	Speaker at bankruptcy law conference	Train, food
7.	American Bankruptcy Institute	5/18/2017	Alexandria, VA	Speaker at Eye on Bankruptcy CLE webcast	Auto mileage, food, parking,
8.	Hudson Valley Bar Association	9/8/2017-9/8/2017	Hyde Park, NY	Speaker at bench/bar conference	Auto mileage, hotel, food
9.	S. Korean Bar Ass'n	9/12/2017-9/16/2017	Seoul, S. Korea	Speaker at international program on first anniversary of S. Korean bankr. court	Airfare, hotel, food, other transportation, parking
10.	National Conference of Bankruptcy Judges	10/8/2017-10/11/2017	Las Vegas, NV	Speaker at bench/bar conference	Airfare, hotel, food, other transportation, parking
11.	American Bankruptcy Institute	10/8/2017-10/10/2017	Las Vegas, NV	Speaker at bankruptcy law conference	Hotel, food, other transportation, parking
12.	American Bankruptcy Institute	10/17/2017-10/17/2017	Washington, DC	Speaker at views from the bench conference	Auto mileage, food, parking
13.	American Bankruptcy Institute	10/18/2017-10/21/2017	Dublin, Ireland	Speaker at international bankruptcyconference	Airfare, hotel, food, other transportation, parking
14.	Association of Insolvency & Restructuring Advisors	11/13/2017-11/13/2017	New York, NY	Speaker at bankruptcy law conference	Train, food
15.	American Bankruptcy Institute	12/1/2-12/3/2017	Palm Springs, CA	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation, parking

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 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)

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. -Activision Blizzard	A	Dividend	J	T	Buy	07/19/17	J		
6.					Buy (add'l)	10/17/17	J		
7. -Alphabet Inc. CL C Com		None	M	T					
8. -Alphabet Inc. CL A Com		None	M	T	Sold (part)	06/20/17	J	A	
9.					Sold (part)	07/19/17	J	A	
10.					Sold (part)	09/28/17	J	B	
11. -Amazon Com		None	M	T	Buy (add'l)	01/11/17	J		
12.					Buy (add'l)	04/19/17	J		
13.					Sold (part)	07/18/17	J	A	
14. -Apple	A	Dividend	L	T	Sold (part)	02/08/17	J	A	
15.					Sold (part)	05/17/17	J	A	
16.					Sold (part)	06/20/17	J	A	
17.					Sold (part)	07/18/17	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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. -AMG Managers Montag & Caldwell Grwth Fnd Cl I	A	Int./Div.			Redeemed	04/06/17	K		
19. -Autozone		None			Sold	07/18/17	J		
20. -BB&T Corp.	A	Dividend	J	T	Sold (part)	06/13/17	J	A	
21. -Berkshire Hathaway Cl B		None	K	T	Sold (part)	08/25/17	J	A	
22.					Sold (part)	12/13/17	J	B	
23. -Boston Scientific		None	J	T	Buy	11/22/17	J		
24.					Buy (add'l)	11/24/17	J		
25.					Buy (add'l)	12/01/17	J		
26. -Celgene		None	K	T	Buy (add'l)	01/13/17	J		
27.					Sold (part)	07/18/17	J	A	
28.					Buy (add'l)	10/31/17	J		
29.					Sold (part)	12/01/17	J		
30.					Sold (part)	12/07/17	J		
31. -Cerner		None	J	T	Sold (part)	07/18/17	J	A	
32.									
33. -Citigroup	A	Dividend	K	T	Sold (part)	12/01/17	J	A	
34. -Col. Dividend Income FD Cl. Z	B	Int./Div.	L	T					

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(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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35. -Col. Select Large Cap Growth FD Cl. Z		None	M	T					
36. -Comcast Corp.	B	Dividend	M	T					
37. -Costco Whlsl	A	Dividend	J	T	Buy (add'l)	01/23/17	J		
38.					Sold (part)	07/18/17	J	A	
39.					Sold (part)	10/31/17	J		
40. -Danaher	A	Dividend	K	T	Buy (add'l)	06/13/17	J		
41. -Dell Tech		None			Sold	06/20/17	J	B	
42. -Delphi		None	J	T	Sold (part)	12/01/17	J	A	
43. -Disney Walt Co.	B	Dividend	K	T	Sold (part)	07/18/17	J		
44.					Sold (part)	12/01/17	J	A	
45. -EOG Res	A	Dividend	K	T	Sold (part)	07/18/17	J		
46.					Buy (add'l)	11/07/17	J		
47. -Exxon Mobil	B	Dividend	L	T					
48. -Facebook		None	K	T	Sold (part)	07/18/17	J	A	
49.					Sold (part)	07/19/17	J	B	
50.					Sold (part)	09/28/17	J	C	
51. -Fortive	A	Dividend	J	T	Sold (part)	07/18/17	J	A	

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52. -Gilead Sciences	A	Dividend	J	T	Sold (part)	02/08/17	J	A	
53.					Sold (part)	12/01/17	J	A	
54. -Goldman Sachs	A	Dividend	K	T	Sold (part)	12/01/17	J	A	
55. -Hershey	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
56.					Sold (part)	10/31/17	J	A	
57. -Home Depot	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
58. -Intercontinental Exchange	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
59. -Johnson & Johnson	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
60.					Sold (part)	12/07/17	J	A	
61. -Kraft Heinz	A	Dividend	K	T					
62. -Lauder Estee Cos.	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
63.					Sold (part)	10/31/17	J	B	
64. -Mastercard	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
65.					Sold (part)	12/01/17	J	A	
66. -MFS Value FD C1 1	B	Int./Div.	L	T					
67. -Microsoft Corp.	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
68. -Mondelez Intl	A	Dividend	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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69. -Monsanto New Com.	A	Dividend	K	T	Sold (part)	12/04/17	J		
70. -Priceline Grp. Inc.		None	K	T					
71. -Raytheon	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
72. -Regeneron Pharma		None			Buy (add'l)	01/13/17	J		
73.					Sold	11/22/17	J	B	
74. -Salesforce Com. Inc.		None	K	T	Sold (part)	07/18/17	J	A	
75. -Schwab Charles	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
76. -SPDR S&P Dividend ETF	C	Int./Div.	M	T					
77. -Starbucks	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
78. -Target	A	Dividend			Sold	04/18/17	K	C	
79. -TCW Select Equities FD C1 1		None			Redeemed	04/13/17	L	E	
80. -Tesla Motors		None			Sold	04/24/17	J	B	
81. -TJX Cos.	A	Dividend	K	T	Sold (part)	02/08/17	J	A	
82.					Sold (part)	07/18/17	J	A	
83. -Union Pacific	B	Dividend	L	T					
84. -United Parcel C1 B	A	Dividend	J	T	Buy	02/08/17	J		
85.					Sold (part)	07/18/17	J	A	

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86. -Vanguard Large-Cap ETF	C	Int./Div.	M	T	Buy	04/10/17	K		
87.					Buy (add'l)	04/18/17	M		
88. -Verizon Com.	A	Dividend	J	T	Sold (part)	02/08/17	J		
89.					Sold (part)	07/18/17	J		
90. -Zoetis Inc.	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
91. -Agilent Technologies		None	J	T	Buy	11/09/17	J		
92.					Buy (add'l)	11/22/17	J		
93. -Albermarle	A	Dividend	J	T	Buy	09/01/17	J		
94.					Buy (add'l)	09/05/17	J		
95. -Amphenol	A	Dividend	K	T	Sold (part)	07/18/17	J	A	
96. -Church & Dwight	A	Dividend	J	T	Buy (add'l)	01/23/17	J		
97.					Sold (part)	07/18/17	J	A	
98. -Cimarex Energy	A	Dividend	J	T	Buy (add'l)	02/02/17	J		
99.					Buy (add'l)	05/17/17	J		
100. -Hunt JB Trans.	A	Dividend	J	T	Sold (part)	07/18/17	J	A	
101. -Jacobs Engr Grp	A	Dividend	K	T	Buy	07/18/17	J		
102.					Buy (add'l)	07/19/17	J		

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	(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)
103. -Leidos Hldgs	A	Dividend	J	T	Buy	07/18/17	J		
104.					Buy (add'l)	07/19/17	J		
105. -Palo Alto Networks					Buy (add'l)	01/23/17	J		
106.					Sold	04/24/17	J	B	
107. -Renaissance Hldgs.	A	Dividend			Sold (part)	09/01/17	J	B	
108.					Sold (part)	09/05/17	J	C	
109.					Sold	09/06/17	J	B	
110. -Vanguard Mid-Cap ETF	B	Int./Div.	M	T					
111. -Wabco Hldgs		None	J	T	Buy	04/26/17	J		
112.					Buy (add'l)	06/20/17	J		
113.					Buy (add'l)	06/21/17	J		
114. -Acadia Healthcare		None			Sold	07/19/17	J	A	
115. -Enstar Grp. Ltd.		None			Sold (part)	07/19/17	J	A	
116.					Sold (part)	07/20/17	J	B	
117.					Sold (part)	07/24/17	J	A	
118.					Sold	07/25/17	J	A	
119. -SM Energy	A	Dividend	J	T	Buy (add'l)	05/17/17	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 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. -Teladoc		None	J	T	Buy	12/07/17	J		
121.					Buy (add'l)	12/08/17	J		
122. -Accenture PLC Cl A	A	Dividend	K	T	Buy	07/18/17	J		
123.					Buy (add'l)	12/07/17	J		
124. -Actelion Ltd					Buy (add'l)	01/17/17	J		
125.					Sold	04/20/17	J	D	
126. -Allergan PLC	A	Dividend			Buy	04/19/17	J		
127.					Buy (add'l)	07/19/17	J		
128.					Sold	12/01/17	J	A	
129. -Anheuser Busch Inbev	A	Dividend	J	T	Sold (part)	12/01/17	J		
130. -Asahi Grp		None	J	T	Buy	12/15/17	J		
131.					Buy (add'l)	12/18/17	J		
132. -Core Labs	A	Dividend	J	T	Sold (part)	12/01/17	J		
133. -CTrip Com Intl		None	J	T	Buy (add'l)	01/17/17	J		
134.					Buy (add'l)	01/18/17	J		
135.					Buy (add'l)	08/25/17	J		
136. -Dassault Systemes		None	K	T	Buy (add'l)	10/17/17	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 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)	10/18/17	J		
138. -Diageo ADR	A	Dividend	K	T	Buy (add'l)	07/19/17	J		
139.					Buy (add'l)	06/20/17	J		
140. -Fanuc Corp.		None	K	T	Buy (add'l)	10/19/17	J		
141. -Keyence Corp.		None	K	T	Sold (part)	12/15/17	J	B	
142. -Line Corp.		None			Sold (part)	02/03/17	J		
143.					Sold	02/06/17	J		
144. -LyondellBasell	A	Dividend	K	T	Sold (part)	07/18/17	J		
145. -Mobileye NV		None	K	T	Buy (add'l)	01/11/17	J		
146.					Sold (part)	12/01/17	J	A	
147. -Nidec Corp.		None	K	T	Sold (part)	12/05/17	J	A	
148. -Novozymes	A	Dividend	K	T	Sold (part)	12/04/17	J	A	
149. -NXP Semiconductors		None			Sold	07/19/17	K	C	
150. -Onex	A	Dividend	K	T	Sold (part)	12/01/17	J	A	
151. -Roche Hldgs		None	K	T	Buy (add'l)	08/31/17	J		
152. -Softbank		None	K	T	Buy (add'l)	11/09/17	J		
153. -Alibaba ADS		None	K	T	Buy (add'l)	05/11/17	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 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 (part)	07/18/17	J	A	
155.					Sold (part)	07/19/17	J	B	
156.					Buy (add'l)	10/31/17	J		
157.					Sold (part)	12/13/17	J	B	
158. -China Communications Const. Co Ltd.		None	J	T	Buy	07/19/17	J		
159.					Buy (add'l)	07/20/17	J		
160.					Buy (add'l)	08/28/17	J		
161.					Buy (add'l)	08/29/17	J		
162.					Buy (add'l)	08/30/17	J		
163. -Icici Bank Ltd ADR	A	Dividend	K	T	Sold (part)	07/25/17	J	A	
164.					Sold (part)	12/01/17	J	A	
165. -JD Com ADR		None	K	T	Sold (part)	12/04/17	J	A	
166. -Tencent Hldgs		None	K	T	Sold (part)	05/17/17	J	B	
167.					Sold (part)	12/04/17	J	A	
168.					Sold (part)	12/14/17	J	C	
169. -NY NY Go Ref BDS	C	Interest	M	T					
170. -Babylon NY Pub Impt BDS	C	Interest	M	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 \$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)
171. -North Hempstead NY Pub Impt BDS	C	Interest	M	T					
172. -Port Auth NY & NJ CONS BDS OID 2012	C	Interest	M	T					
173. -NY St. Dorm Auth Pers BDS 2022	C	Interest	M	T					
174. -BofA Tax Exempt Reserves					Distributed	06/07/17	K		
175.					Distributed	09/27/17	J		
176. -Blackrock Liquidity Fed Fund	A	Interest	K	T					
177. US Trust managed IRA Rollover Account (no control)									
178. -BofA Money Market Savings			L	T					
179. -Col. Dividend Income Fd	A	Dividend			Redeemed	02/01/17	K	C	
180. -Col. Select Large Cap Growth Fd C1 Z		None	M	T					
181. -MFS Value Fd	A	Int./Div.	J	T	Buy	02/01/17	K		
182.					Redeemed (part)	06/01/17	K	A	
183. -Natixis Loomis Sayles Growth Fd	A	Int./Div.	J	T	Redeemed (part)	02/01/17	J	A	
184.					Redeemed (part)	06/01/17	K	C	
185. -Oakmark Select Fd C1 1	A	Int./Div.	J	T	Redeemed (part)	02/01/17	K	A	
186.					Redeemed (part)	06/01/17	K	C	
187. -Vanguard S&P 500 ETF	C	Int./Div.	M	T	Sold (part)	02/01/17	K	C	

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.)

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	(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.					Buy (add'l)	06/05/17	L		
189. -Baird Midcap Fd Instl		None	J	T	Buy (add'l)	02/01/17	K		
190.					Redeemed (part)	10/02/17	K	C	
191. -iShares Russell Mid Cap ETF	B	Int./Div.	M	T	Buy (add'l)	02/03/17	K		
192.					Buy (add'l)	10/03/17	J		
193. -MFS Mid Cap Value Fd Cl 1	A	Int./Div.	K	T	Buy (add'l)	02/01/17	K		
194.					Redeemed (part)	10/02/17	K	B	
195. -iShares Russell 2000 ETF	A	Int./Div.	L	T	Buy (add'l)	02/01/17	K		
196.					Buy (add'l)	12/04/17	K		
197. -Touchstone Small Cap Growth Fd					Buy (add'l)	02/01/17	K		
198.					Redeemed	12/01/17	K	B	
199. -Wells Fargo Special Small Cap Value Fd	A	Int./Div.	K	T	Buy (add'l)	02/01/17	K		
200. -Harding Loevner Fds Intl Equity	A	Int./Div.	J	T	Buy	10/02/17	J		
201. -Invesco Intl Growth Fd	A	Int./Div.			Buy (add'l)	02/01/17	J		
202.					Redeemed (part)	06/01/17	K	B	
203.					Redeemed	10/02/17	J	A	
204. -iShares Core MSCI EAFE ETF		None			Redeemed	02/01/17	K	B	

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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	(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. -JP Morgan Intl Value Fd	A	Int./Div.			Buy (add'l)	02/01/17	J		
206.					Redeemed (part)	06/01/17	K	B	
207.					Redeemed	10/02/17	J	B	
208. -Oakmark Intl Fd	A	Int./Div.	J	T	Buy	10/02/17	J		
209. -Vanguard FTSE Developed Markets ETF	C	Int./Div.	M	T	Buy	02/01/17	L		
210.					Buy (add'l)	06/05/17	K		
211. -Hartford Mut Fds II Schroders Emerging Mkts	A	Int./Div.	K	T	Redeemed (part)	02/01/17	J		
212.					Redeemed (part)	06/01/17	K	B	
213. -Vanguard FTSE Emerging Markets ETF	B	Int./Div.	K	T	Buy	02/03/17	K		
214.					Buy (add'l)	06/05/17	K		
215. -iShares Core MSCI Emerging Mkts					Redeemed	02/01/17	K	B	
216. -iShares Core US Aggregate Bond ETF	A	Int./Div.			Sold	02/03/17	J		
217. -AQR Diversified Arbitrage Fd	A	Int./Div.	J	T	Redeemed (part)	02/01/17	J	A	
218. -AQR Managed Futures Strategy Fd		None	J	T	Buy (add'l)	02/01/17	J		
219.					Redeemed (part)	04/17/17	J		
220. -Arbitrage Fd	A	Int./Div.	J	T	Redeemed (part)	02/01/17	J	A	
221. -Blackrock Global Long Short Fd		None	J	T	Redeemed (part)	02/01/17	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	
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222. -Blackrock Strategic Income Opportunities	A	Int./Div.	J	T	Buy	04/17/17	J		
223. -Boston Partners Long Short Res Fd		None	J	T	Redeemed (part)	02/01/17	J	A	
224.					Redeemed (part)	04/17/17	J	A	
225. -Legg Mason BW Absolute Return Opp. Fd	A	Int./Div.	J	T	Redeemed (part)	02/01/17	J	A	
226.					Redeemed (part)	04/17/17	J	A	
227. -Neuberger Berman Long Short Fd		None	J	T	Redeemed (part)	02/01/17	J	A	
228.					Redeemed (part)	04/17/17	J	A	
229. -Apple Sr Unsecd Nt	A	Interest	K	T					
230. -Berkshire Hathaway Fin Corp Gtd Sr Nt.	B	Interest	L	T					
231. -Citigroup Inc Unsecd Sr. Nt	A	Interest			Matured	11/24/17	K		
232. -Goldman Sachs Sr. Unsecured Nt	A	Interest	K	T	Buy	11/30/17	K		
233. -JPMorgan Chase Sr Unsecd Nt	A	Interest	K	T					
234. -Walmart Stores Sr. Unsecd Nt	A	Interest	K	T					
235. -CMG Ultra Short Term Bond Fd	B	Interest	M	T					
236. -Prudential Global Real Estate Fd C1 Z		None			Redeemed	02/01/17	K	A	
237. -Vanguard REIT ETF		None			Sold	02/01/17	K		
238. -Credit Suisse Commodity-Return Fd		None			Redeemed	02/01/17	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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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. Fifth Third Bancorp common	A	Int./Div.	J	T					
240. US Trust IRA (no control)									
241. -BoFA Money Market	A	Interest	L	T					
242. -SPDR S&P Div. ETF	B	Int./Div.	K	T					
243. -SPDR S&P 500 ETF	C	Int./Div.	M	T					
244. -Vanguard Mid-Cap ETF	A	Int./Div.	J	T					
245. -Vanguard Small-Cap ETF	A	Dividend	J	T					
246. -US Treas Strips	B	Interest	L	T					
247. -Col. Select Large Cap Growth Fd Cl. Z		None	M	T					
248. -CMG Ultra Short Term Bond Fd	B	Interest	K	T					
249. NYS 529 savings program #1-Moderate Age-Based Option Income Portfolio	B	Int./Div.	J	T	Distributed (part)	01/30/17	K		
250.					Distributed (part)	07/31/17	J		
251. NYS 529 savings program #2-Moderate Age-Based Option Income Portfolio	B	Int./Div.	J	T	Distributed (part)	07/31/17	K		
252. NYS 529 savings program #3-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Buy	07/31/17	K		
253.					Distributed (part)	07/31/17	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ 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
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