

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 12/24/2014
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 01/01/2013 to 12/31/2013
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

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/University of Texas Law School	02/20/2013-02/22/2013	Las Vegas, NV	Speaker at annual conference on valuation issues	Airfare, hotel, food, other transportation
2. American Bankruptcy Institute	04/19/2014-04/21/2014	Washington, DC	Speaker at annual bankruptcy conference	Train, food, other transportation
3. Turnaround Management Ass'n/NY Institute of Credit	05/09/2013-05/10/2013	Uncasville, CT	Speaker at conference on law firm bankruptcies	Transportation, hotel, food
4. Hudson Valley Bankruptcy Bar Association	09/19/2013-9/20/2013	Hyde Park, NY	Speaker at annual consumer bankruptcy law conference	Transportation, hotel, food

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5.	American Bankruptcy Institute/Georgetown Law School	9/27/2013-9/28/2013	Washington, DC	Speaker at annual views from the bench bankruptcy law conference	Train, food, other transportation
6.	American Bankruptcy Institute	10/31/2013-11/1/2013	Atlanta, GA	Speaker at annual bankruptcy law conference	Airfare, hotel, food, other transportation

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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 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 #1	A	Interest	J	T					See note in Part VII
2. Access Financial Account #1	A	Int./Div.	K	T					
3. Access Financial Account #2	A	Int./Div.	K	T	Sold (part)	12/27/13	L	D	
4. Access Financial Account #3	A	Interest	J	T					
5. FifthThird Bancorp common	A	Dividend	J	T					
6. US Trust Managed US TCommon Account (no control)	F	Int./Div.	P1	T					See note in Part VIII
7. -Accenture					Buy	05/23/13	J		
8. -Accenture					Buy (add'l)	11/20/13	J		
9. -Accenture					Sold (part)	12/16/13	J		
10. -Ace Ltd.					Buy	05/23/13	J		
11. -Ace Ltd.					Sold (part)	08/08/13	J		
12. -Ace Ltd.					Sold (part)	08/09/13	J		
13. -Ace Ltd.					Buy (add'l)	11/20/13	J		
14. -Alexion Pharma.					Buy	05/23/13	J		
15. -Alexion Pharma.					Buy (add'l)	07/01/13	J		
16. -Alexion Pharma					Buy (add'l)	07/05/13	J		
17. -Alexion Pharma.					Buy (add'l)	11/20/13	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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	(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. -Allergan					Buy	05/23/13	J		
19. -Allergan					Sold	06/27/13	J		
20. -Amazon									
21. -American Express					Buy	06/10/13	J		
22. -American Express					Buy (add'l)	11/20/13	J		
23. -Anadarko Pete					Buy	05/23/13	J		
24. -Anadarko Pete					Buy (add'l)	11/20/13	J		
25. -Anadarko Pete					Sold (part)	12/16/13	J		
26. -Apple					Buy	05/23/13	J		
27. -Apple					Buy (add'l)	11/20/13	J		
28. -Aston Montag & Caldwell Grwth Fnd Cl 1					Buy (add'l)	01/04/13	L		
29. -Berkshire Hathaway Cl B					Buy	05/23/13	J		
30. -Berkshire Hathaway Cl B					Buy (add'l)	11/20/13	J		
31. -Cerner					Buy	05/23/13	J		
32. -Cerner					Buy (add'l)	11/20/13	J		
33. -Chevron					Buy	05/23/13	J	A	
34. -Chevron					Sold (part)	07/25/13	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 \$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. -Chevron					Sold (part)	11/14/13	J		
36. -Chevron					Buy (add'l)	11/20/13	J		
37. -Chevron					Sold (part)	12/16/13	J		
38. -CME Grp.					Buy	06/24/13	J		
39. -CME Grp.					Buy (add'l)	06/25/13	J		
40. -CME Grp.					Buy (add'l)	06/27/13	J		
41. -CME Grp.					Buy (add'l)	07/29/13	J		
42. -CME Grp.					Buy (add'l)	11/20/13	J		
43. -Col. Dividend. Income FD Class Z					Buy (add'l)	01/04/13	L		
44. -Col. Select Large Cap Growth FD Class Z									
45. -Comcast									
46. -Conoco Phillips					Buy	05/23/13	J		
47. -Conoco Phillips					Buy (add'l)	11/20/13	J		
48. -Costco Whsl					Buy	05/23/13	J		
49. -Costco Whsl					Buy (add'l)	06/27/13	J		
50. -Costco Whsl					Buy (add'l)	11/20/13	J		
51. -Deere & Co.					Buy	05/23/13	J		

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52. -Deere & Co.					Sold	07/16/13	J		
53. -Discovery Comm.					Buy	05/23/13	J		
54. -Discovery Comm.					Buy (add'l)	11/20/13	J		
55. -Ebay					Buy (add'l)	05/23/13	J		
56. -Ebay					Sold (part)	07/15/13	J		
57. -Ebay					Sold (part)	11/18/13	K	E	
58. -Ebay					Buy (add'l)	11/20/13	J		
59. -Ebay					Sold	11/22/13	J		
60. -EMC					Buy	06/06/13	J		
61. -EMC					Buy (add'l)	08/26/13	J		
62. -EMC					Buy (add'l)	11/20/13	J		
63. -EMC					Sold (part)	12/02/13	J		
64. -Exxon Mobil					Buy (add'l)	05/23/13	J		
65. -Exxon Mobil					Buy (add'l)	11/20/13	J		
66. -Exxon Mobil					Buy (add'l)	11/22/13	J		
67. -Gilead					Buy	05/23/13	J		
68. -Gilead					Buy (add'l)	11/20/13	J		

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69. -Google					Buy (add'l)	05/23/13	K		
70. -Google					Buy (add'l)	11/20/13	J		
71. -Grainger					Buy	05/23/13	J		
72. -Grainger					Buy (add'l)	11/20/13	J		
73. -Hershey					Buy	05/23/13	J		
74. -Hershey					Buy (add'l)	11/20/13	J		
75. -Home Depot					Buy	05/23/13	J		
76. -Home Depot					Buy (add'l)	11/20/13	J		
77. -Intuitive Surgical					Buy	05/23/13	J		
78. -Intuitive Surgical					Buy (add'l)	07/01/13	J		
79. -Intuitive Surgical					Buy (add'l)	11/20/13	J		
80. -Johnson & Johnson					Buy	05/23/13	J		
81. -Johnson & Johnson					Buy (add'l)	07/25/13	J		
82. -Johnson & Johnson					Buy (add'l)	11/20/13	J		
83. -Kraft Foods									
84. -Las Vegas Sands					Buy	05/23/13	J		
85. -Las Vegas Sands					Sold (part)	10/21/13	J	A	

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86. -Las Vegas Sands					Sold (part)	10/31/13	J	A	
87. -Las Vegas Sands					Buy	11/20/13	J		
88. -Mastercard					Buy	05/23/13	K		
89. -Mastercard					Buy (add'l)	11/20/13	J		
90. -MFS Value FD Cl 1					Buy (add'l)	01/04/13	L		
91. -Mondelez Intl									
92. -Monsanto New Com.					Buy	05/23/13	J		
93. -Monsanto New Com.					Sold (part)	06/07/13	J		
94. -Monsanto New Com.					Sold (part)	06/27/13	J		
95. -Monsanto New Com.					Sold (part)	07/01/13	J		
96. -Monsanto New Com.					Sold (part)	07/05/13	J		
97. -Monsanto New Com.					Sold (part)	07/08/13	J		
98. -Monsanto New Com.					Sold (part)	07/15/13	J		
99. -Monsanto New Com.					Buy (add'l)	11/20/13	J		
100. -Morgan Stanley					Buy	08/08/13	J		
101. -Morgan Stanley					Buy (add'l)	08/09/13	J		
102. -Morgan Stanley					Buy (add'l)	11/20/13	J		

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103. -National Oilwell Varco									
104. -News Corp.					Buy	05/23/13	J		
105. -New Corp.					Sold	08/08/13	J	A	
106. -Pfizer					Buy	05/23/13	J		
107. -Pfizer					Sold (part)	06/07/13	J		
108. -Pfizer					Sold	07/25/13	J	A	
109. -Price T. Rowe Grp.					Buy	06/25/13	J		
110. -Price T. Rowe Grp.					Sold	10/16/13	J		
111. -Philip Morris Intl					Buy	05/23/13	J		
112. -Philip Morris Intl					Sold	06/10/13	J		
113. -Priceline					Buy	05/23/13	J		
114. -Priceline					Buy (add'l)	11/20/13	J		
115. -Regeneron Pharma.					Buy	05/23/13	J		
116. -Regeneron Pharma.					Buy (add'l)	06/27/13	J		
117. -Regeneron Pharma.					Buy (add'l)	07/25/13	J		
118. -Regeneron Pharma.					Buy (add'l)	08/09/13	J		
119. -Regeneron Pharma					Buy (add'l)	11/20/13	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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12/24/2014

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. -Select Sector SPDR Tr. Fin.					Buy	05/23/13	J		
121. -Select Sector SPDR Tr. Fin.					Sold	08/08/13	J	A	
122. -Salesforce Com Inc.					Buy	11/26/13	J		
123. -Sherwin Williams					Buy	05/23/13	J		
124. -Sherwin Williams					Sold (part)	08/26/13	J		
125. -Sherwin Williams					Sold (part)	08/27/13	J		
126. -Sherwin Williams					Buy (add'l)	11/20/13	J		
127. -SPDR S&P Dividend ETF									
128. -Target									
129. -TCW Select Equities FD Cl 1					Buy (add'l)	01/04/13	L		
130. -TJX Cos.					Buy	05/23/13	J		
131. -TJX Cos.					Buy (add'l)	11/20/13	J		
132. -Twenty-First Cent. Fox					Buy	07/15/13	J		
133. -Twenty-First Cent. Fox					Buy (add'l)	07/25/13	J		
134. -Twenty-First Cent. Fox					Buy (add'l)	11/20/13	J		
135. -Union Pac									
136. -VMWare					Buy	05/23/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -VMWare					Sold (part)	06/06/13	J		
138. -VMWare					Sold	06/27/13	J		
139. -WholeFoods					Buy	11/14/13	J		
140. -Whole Foods					Buy (add'l)	11/20/13	J		
141. -Alliance Data					Buy	12/16/13	J		
142. -Amphenol					Buy	05/23/13	J		
143. -Amphenol					Buy (add'l)	07/17/13	J		
144. -Amphenol					Buy (add'l)	11/20/13	J		
145. -Church & Dwight					Buy	05/23/13	J		
146. -Church & Dwight					Buy (add'l)	11/20/13	J		
147. -Flowserve					Buy	05/23/13	J		
148. -Flowserve					Buy (add'l)	11/20/13	J		
149. -Flowserve					Buy (add'l)	11/26/13	J		
150. -Flowserve					Buy (add'l)	11/27/13	J		
151. -Flowserve					Buy (add'l)	11/29/13	J		
152. -Flowserve					Buy (add'l)	12/02/13	J		
153. -Hunt JB Trans.					Buy	05/23/13	J		

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

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Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -Hunt JB Trans.					Buy (add'l)	11/20/13	J		
155. -Intl Flavors & Fragrances					Buy	05/23/13	J		
156. -Intl Flavors & Fragrances					Buy (add'l)	11/20/13	J		
157. -Leucadia Natl					Buy	05/23/13	J		
158. -Leucadia Natl					Sold (part)	06/27/13	J		
159. -Leucadia Natl					Buy (add'l)	11/20/13	J		
160. -Ocwen					Buy	10/16/13	J		
161. -Ocwen					Buy (add'l)	10/22/13	J		
162. -Ocwen					Buy (add'l)	10/23/13	J		
163. -Ocwen					Buy (add'l)	10/24/13	J		
164. -Ocwen					Buy (add'l)	11/14/13	J		
165. -Ocwen					Buy (add'l)	11/20/13	J		
166. -Polaris Inds.					Buy	05/23/13	J		
167. -Polaris Inds.					Buy (add'l)	07/25/13	J		
168. -Polaris Inds.					Buy (add'l)	11/20/13	J		
169. -Renaissance Hldgs.					Buy	05/23/13	J		
170. -Renaissance Hldgs.					Buy (add'l)	11/20/13	J		

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

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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. -Rockwell Automation					Buy	05/23/13	J		
172. -Rockwell Automation					Buy (add'l)	07/01/13	J		
173. -Rockwell Automation					Buy (add'l)	07/05/13	J		
174. -Rockwell Automation					Buy (add'l)	07/16/13	J		
175. -Rockwell Automation					Buy (add'l)	09/12/13	J		
176. -Rockwell Automation					Buy (add'l)	09/13/13	J		
177. -Rockwell Automation					Buy (add'l)	11/20/13	J		
178. -Stanley Black & Decker					Buy	06/07/13	J		
179. -Stanley Black & Decker					Buy (add'l)	08/08/13	J		
180. -Stanley Black & Decker					Buy (add'l)	08/09/13	J		
181. -Stanley Black & Decker					Buy (add'l)	08/26/13	J		
182. -Stanley Black & Decker					Buy (add'l)	08/27/13	J		
183. -Stanley Black & Decker					Buy (add'l)	08/28/13	J		
184. -Stanley Black & Decker					Sold	10/22/13	J		
185. -Stericycle					Buy	05/23/13	J		
186. -Stericycle					Buy (add'l)	11/20/13	J		
187. -Tractor Supply					Buy	06/25/13	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.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. -Tractor Supply					Buy (add'l)	07/16/13	J		
189. -Tractor Supply					Buy (add'l)	07/17/13	J		
190. -Tractor Supply					Buy (add'l)	11/20/13	J		
191. -Vanguard Mid-Cap ETF					Buy	11/18/13	M		
192. -Columbia Small Cap Growth FD Class Z					Redeemed	11/14/13	M		
193. -Enstrar Grp. Ltd.					Buy	05/23/13	J		
194. -Enstar Grp. Ltd.					Buy (add'l)	11/20/13	J		
195. -Questcor Pharma.					Buy	05/23/13	J		
196. -Questcor Pharma.					Buy (add'l)	07/05/13	J		
197. -Questcor Pharma.					Buy (add'l)	07/08/13	J		
198. -Questcor Pharma.					Sold (part)	08/23/13	J	A	
199. -Questcor Pharma.					Sold (part)	09/16/13	J	A	
200. -Questcor Pharma.					Sold (part)	09/17/13	J	A	
201. -Questcor Pharma.					Buy (add'l)	11/20/13	J		
202. -Senomys					Buy	05/23/13	J		
203. -Ship Fin. Intl Ltd.					Buy	01/23/13	J		
204. -Ship Fin. Intl Ltd.					Buy (add'l)	07/05/13	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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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. -Ship Fin. Intl. Ltd.					Buy (add'l)	07/08/13	J		
206. -Ship Fin. Intl. Ltd.					Buy (add'l)	07/29/13	J		
207. -Ship Fin. Intl. Ltd.					Buy (add'l)	07/30/13	J		
208. -Ship Fin. Intl. Ltd.					Buy (add'l)	09/11/13	J		
209. -Ship Fin. Intl. Ltd.					Buy (add'l)	09/13/13	J		
210. -Ship Fin. Intl. Ltd.					Buy (add'l)	11/20/13	J		
211. -Actelion Ltd.					Buy	08/14/13	J		
212. -Actelion Ltd.					Buy (add'l)	08/15/13	J		
213. -Actelion Ltd.					Buy (add'l)	08/21/13	J		
214. -Actelion Ltd.					Buy (add'l)	08/26/13	J		
215. -Actelion Ltd.					Buy (add'l)	08/27/13	J		
216. -Actelion Ltd.					Buy (add'l)	09/13/13	J		
217. -Actelion Ltd.					Buy (add'l)	11/05/13	J		
218. -Actelion Ltd.					Buy (add'l)	11/20/13	J		
219. -Actelion Ltd.					Buy (add'l)	12/02/13	J		
220. -Actelion Ltd.					Buy (add'l)	12/05/13	J		
221. -Actelion Ltd.					Buy (add'l)	12/27/13	J		

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

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Drain, Robert D.

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

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

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

222. -Anheuser Busch Inbev					Buy	05/23/13	J		
223. -Anheuser Busch Inbev.					Sold (part)	06/27/13	J		
224. -Anheuser Busch Inbev.					Sold (part)	07/08/13	J		
225. -Anheuser Busch Inbev.					Buy (add'l)	11/20/13	J		
226. -Bombardier					Buy	05/24/13	J		
227. -Bombardier					Buy (add'l)	11/20/13	J		
228. -Compagnie Financiere Richemont					Buy	05/24/13	J		
229. -Compagnie Financiere Richemont					Buy (add'l)	07/02/13	J		
230. -Compagnie Financiere Richemont					Buy (add'l)	07/17/13	J		
231. -Compagnie Financiere Richemont					Buy (add'l)	11/20/13	J		
232. -Dassault Systems					Buy	10/11/13	J		
233. -Dassault Systems					Buy (add'l)	10/18/13	J		
234. -Dassault Systems					Buy (add'l)	11/05/13	J		
235. -Dassault Systems					Buy	11/20/13	J		
236. -Dassault Systems					Buy (add'l)	12/27/13	J		
237. -Diageo PLC ADR					Buy	05/23/13	J		
238. -Diageo PLC ADR					Sold	06/27/13	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)

239. -Dominion Diamond					Buy	05/23/13	J		
240. -Dominion Diamond					Sold (part)	09/13/13	J		
241. -Dominion Diamond					Sold (part)	09/17/13	J		
242. -Dominion Diamond					Sold (part)	09/19/13	J		
243. -Dominion Diamond					Sold (part)	09/20/13	J		
244. -Dominion Diamond					Sold (part)	09/23/13	J		
245. -Dominion Diamond					Sold (part)	09/27/13	J		
246. -Dominion Diamond					Sold (part)	09/30/13	J		
247. -Dominion Diamond					Sold (part)	10/01/13	J		
248. -Dominion Diamond					Sold (part)	10/03/13	J		
249. -Dominion Diamond					Sold (part)	10/04/13	J		
250. -Dominion Diamond					Sold	10/07/13	J		
251. -Fanuc Corp.					Buy	05/24/13	J		
252. -Fanuc Corp					Sold (part)	06/26/13	J		
253. -Fanuc Corp.					Sold (part)	07/02/13	J		
254. -Fanuc Corp.					Buy (add'l)	11/21/13	J		
255. -Fanuc Corp.					Buy (add'l)	12/26/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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12/24/2014

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

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

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

256. -Fast Retailing					Buy	05/24/13	J		
257. -Fast Retailing					Sold (part)	06/11/13	J		
258. -Fast Retailing					Sold (part)	09/18/13	J		
259. -Fast Retailing					Buy (add'l)	11/21/13	J		
260. -Gemalto NV					Buy	05/23/13	J		
261. -Gemalto NV					Buy (add'l)	11/20/13	J		
262. -Givaudan AG					Buy	05/24/13	J		
263. -Givaudan AG					Buy (add'l)	11/20/13	J		
264. -Industria De Diseno Textil					Buy	05/23/13	J		
265. -Industria De Diseno Textil					Buy (add'l)	11/20/13	J		
266. -Japan Exchanged Grp.					Buy	05/24/13	J		
267. -Japan Exchanged Grp.					Buy (add'l)	07/08/13	J		
268. -Japan Exchanged Grp.					Buy (add'l)	11/21/13	J		
269. -Jardine Strategic Hldgs.					Buy	05/28/13	J		
270. -Jardine Strategic Hldgs					Buy (add'l)	09/16/13	J		
271. -Jardine Strategic Hldgs					Buy (add'l)	11/21/13	J		
272. -Keyence Corp.					Buy	05/24/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. -Keyence Corp.					Buy (add'l)	11/05/13	J		
274. -Keyence Corp.					Buy (add'l)	11/21/13	J		
275. -Kuka AG					Buy	05/22/13	J		
276. -Kuka AG					Buy (add'l)	07/01/13	J		
277. -Kuka AG					Buy (add'l)	09/11/13	J		
278. -Kuka AG					Buy (add'l)	11/19/13	J		
279. -LyondellBasell					Buy	05/23/13	J		
280. -LyondellBasell					Buy (add'l)	07/16/13	J		
281. -LyondellBasell					Buy (add'l)	11/20/13	J		
282. -Nidec Corp.					Buy	05/24/13	J		
283. -Nidec, Corp.					Buy (add'l)	07/11/13	J		
284. -Nidec Corp.					Buy (add'l)	11/21/13	J		
285. -Noble Grp. Ltd.					Buy	05/23/13	J		
286. -Noble Grp. Ltd.					Sold (part)	06/11/13	J		
287. -Noble Grp. Ltd.					Sold (part)	06/26/13	J		
288. -Noble Grp. Ltd.					Sold (part)	06/28/13	J		
289. -Noble Grp. Ltd.					Sold (part)	07/02/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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12/24/2014

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. -Noble Grp. Ltd.					Buy (add'l)	11/20/13	J		
291. -Noble Grp. Ltd.					Buy (add'l)	11/25/13	J		
292. -Noble Grp. Ltd.					Buy (add'l)	11/27/13	J		
293. -Noble Grp. Ltd.					Buy (add'l)	12/02/13	J		
294. -Novo-Nordisk ADR					Buy	05/23/13	J		
295. -Novo-Nordisk ADR					Sold (part)	07/15/13	J		
296. -Novo-Nordisk ADR					Sold (part)	07/16/13	J		
297. -Novo-Nordisk ADR					Buy (add'l)	11/20/13	J		
298. -Novozymes					Buy	05/24/13	J		
299. -Novozymes					Buy (add'l)	11/20/13	J		
300. -Olam Intl					Buy	05/23/13	J		
301. -Olam Intl					Sold (part)	09/17/13	J		
302. -Olam Intl					Sold (part)	09/18/13	J		
303. -Olam Intl					Sold (part)	09/19/13	J		
304. -Olam Intl					Sold	09/20/13	J		
305. -Onex					Buy	05/24/13	J		
306. -Onex					Buy (add'l)	11/20/13	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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Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. -Rakuten Inc. Tokyo					Buy	05/24/13	J		
308. -Rakuten Inc. Tokyo					Buy (add'l)	08/16/13	J		
309. -Rakuten Inc. Tokyo					Buy (add'l)	11/20/13	J		
310. -RHJ Intl					Buy	05/23/13	J		
311. -RHJ Intl					Sold (part)	10/31/13	J	A	
312. -Roch Hldgs					Buy	05/24/13	J		
313. -Roch Hldgs					Buy (add'l)	11/20/13	J		
314. -Rolls-Royce Hldgs					Buy	05/23/13	J		
315. -Rolls-Royce Hldgs					Buy (add'l)	11/20/13	J		
316. -Salvatore Farragamo Italia					Buy	05/23/13	J		
317. -Salvatore Farragamo Intalia					Buy (add'l)	11/20/13	J		
318. -Shinsei Bk Ltd.					Buy	05/24/13	J		
319. -Shinsei Bk Ltd.					Sold (part)	09/18/13	J		
320. -Shinsei Bk Ltd.					Buy (add'l)	11/21/13	J		
321. -Softbank					Buy	09/18/13	J		
322. -Softbank					Buy (add'l)	09/19/13	J		
323. -Softbank					Buy (add'l)	09/24/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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

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

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

324. -Softbank					Buy (add'l)	09/26/13	J		
325. -Softbank					Buy (add'l)	10/07/13	J		
326. -Softbank					Buy (add'l)	11/21/13	J		
327. -Swatch Grp.					Buy	05/24/13	J		
328. -Swatch Grp.					Buy (add'l)	09/13/13	J		
329. -Swatch Grp.					Buy (add'l)	09/24/13	J		
330. -Swatch Grp.					Buy (add'l)	11/20/13	J		
331. -Symrise AG					Buy	05/22/13	J		
332. -Symrise AG					Sold (part)	10/10/13	J	A	
333. -Symrise AG					Sold (part)	10/11/13	J	A	
334. -Valeant Pharma. Intl.					Buy	05/23/13	J		
335. -Valeant Pharma. Intl.					Sold (part)	06/10/13	J		
336. -Valeant Pharma. Intl.					Sold (part)	06/25/13	J		
337. -Valeant Pharma. Intl.					Sold (part)	06/27/13	J		
338. -Valeant Pharma. Intl.					Sold (part)	08/23/13	J	A	
339. -Valeant Pharma Intl.					Buy (add'l)	11/20/13	J		
340. -Ishares MSCI Emerging MKTS Index 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 \$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)
341. -Col. US Govt. Mtg FD C1 Z					Redeemed (part)	04/02/13	L		
342. -Col US Govt. Mtg. FD C1 Z					Redeemed (part)	04/09/13	M		
343. -Col US Govt. Mtg. FD C1 Z					Redeemed (part)	09/25/13	K		
344. -Col US Govt. Mtg. FD C1 Z					Redeemed	11/14/13	M		
345. -Port Auth NY & NJ CONS BDS-OID 2018					Redeemed	12/27/13	J	A	
346. -NY NY Go Ref BDS									
347. -Babylon NY Pub Impt BDS									
348. -North Hempstead NY Pub Impt BDS									
349. -Port Auth NY & NJ CONS BDS OID 2021									
350. -NY St Dorm Auth St. Pers BDs 2022									
351. -Col Short Term Mun. BD Fd C1 Z					Redeemed	04/09/13	M		
352. -American Tower					Buy	05/23/13	J		
353. -American Tower					Sold (part)	07/25/13	J		
354. -American Tower					Sold	08/13/13	J		
355. -BoFA Tax Exempt Reserves					Buy (add'l)	01/02/13	J		
356.					Sold (part)	01/04/13	M		
357.					Sold (part)	01/15/13	J		

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

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Name of Person Reporting

Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358.					Sold (part)	01/23/13	K		
359.					Buy (add'l)	04/01/13	J		
360.					Buy (add'l)	04/01/13	K		
361.					Buy (add'l)	04/02/13	L		
362.					Buy (add'l)	04/03/13	L		
363.					Buy (add'l)	04/09/13	M		
364.					Buy (add'l)	04/09/13	M		
365.					Sold (part)	04/12/13	J		
366.					Sold (part)	05/14/13	J		
367.					Sold (part)	05/15/13	K		
368.					Sold (part)	01/23/13	M		
369.					Sold (part)	01/23/13	M		
370.					Sold (part)	05/24/13	L		
371.					Sold (part)	05/28/13	J		
372.					Sold (part)	06/17/13	K		
373.					Buy (add'l)	11/15/13	M		
374.					Sold (part)	11/15/13	M		

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

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Name of Person Reporting

Drain, Robert D.

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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)
375.					Sold (part)	11/18/13	L		
376.					Sold (part)	11/19/13	M		
377.					Sold (part)	11/20/13	M		
378.					Sold (part)	11/21/13	L		
379.					Buy (add'l)	11/22/13	J		
380.					Sold (part)	11/26/13	J		
381.					Sold (part)	11/27/13	J		
382.					Buy (add'l)	12/12/13	J		
383.					Sold (part)	12/13/13	K		
384.					Buy (add'l)	12/27/13	J		
385.					Buy (add'l)	12/31/13	J		
386. US Trust managed IRA Rollover Account (no control)	B	Int./Div.	O	T					See note in part VIII
387. -BoFA Money Market Savings									
388. -Aston Montag & Caldwell Growth Fd									
389. -Col. Dividend Income Fd									
390. -Col Select Large Cap Growth Fd C1 Z									
391. -MFS Value Fd					Redeemed	12/18/13	L	E	

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

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Drain, Robert D.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. -TCW Select Equities Fd									
393. -Col Select Small Cap FD CL Z					Redeemed	12/18/13	K		
394. -iShares MSCI Emerging Mkts FD					Redeemed	12/20/13	K	B	
395. -Walmart Stores									
396. -Bank of NY Med. Term. Sr. Nt.									
397. -Berkshire Hathaway Fin Corp. Gtd. Sr. Nt.									
398. -Col Ultra Short Term Bond Fd					Redeemed	12/18/13	J		
399. -Col. Corp. Income Fd. Class Z					Redeemed	12/18/13	J		
400. -Col. Strat. Income Fd. Class Z					Redeemed	12/18/13	J		
401. -Col US Govt Mtg Fd CL Z					Redeemed	12/18/13	K		
402. -PIMCO Total Return Fd					Redeemed	12/18/13	K		
403. -Col Income Opp. Fd CL Z									
404. -Fidelity Advisor Floating Rt. High Income Fd.									
405. -Pimco Commodity Real Return Strategy FD					Redeemed	12/18/13	J		
406. FifthThird Bancorp common	A	Dividend	J	T					
407. US Trust IRA (no control)	C	Dividend	N	T					See note in part VIII
408. -BoFA Money Market									

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

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Name of Person Reporting

Drain, Robert D.

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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)
409. -Col. Select Large Cap Growth Fd. Class Z									
410. -SPDR S&P Div. ETF									
411. -SPDR S&P 500 ETF									
412. -Vanguard Mid-Cap ETF					Buy	11/18/13	J		
413. -Vanguard Small-Cap ETF					Buy	11/18/13	J		
414. -US Treas Strips									
415. NY 529 savings program #1		None	K	T	Sold (part)	12/27/13	K		
416. -Moderate-Age Based Option: Income Portfolio									
417. NY 529 savings program #2		None	L	T					
418. -Moderate-Age Based Option: Income Portfolio									
419. NY 529 savings program #3		None	M	T	Sold (part)	12/27/13	K		
420. -Moderate-Age Based Option: Income Portfolio									

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.)*

1. Part VII, lines 6-385, columns B and C. The U.S. Trust-managed account described on line 6 is held and managed in trust by U.S. Trust as a fiduciary [REDACTED] and me. It is not a personal brokerage or financial management account. We have no discretion with respect to any of the individual assets in the account, which are listed in lines 7-385. 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 386-406, columns B and C. The U.S. Trust-managed IRA rollover account described in line 386 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 6 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 387-406, 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 407-414, columns B and C. The U.S. Trust-managed IRA rollover account described in line 407 is held and managed by U.S. Trust as a fiduciary [REDACTED] with respect to the rollover of [REDACTED] former 401(k) account. As with the accounts described in lines 6 and 386 of Part VII and above, [REDACTED] has no discretion with respect to any of the individual assets in the account, which are listed in lines 408-414, 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.

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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