

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/09/2016
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 01/01/2015 to 12/31/2015
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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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 College of Bankruptcy	1/23/2015-1/25/2015	Sarasota, FL	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation
2. American College of Bankruptcy	2/13/2015-2/14/2015	Washington, D.C.	Speaker at bankruptcy law conference	Auto mileage, food
3. American Bankruptcy Institute/University of Texas Law School	2/25/2015-2/27/2015	Las Vegas, NV	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation
4. American Bankruptcy Institute	4/16/2015-4/27/2015	Washington, D.C.	Speaker at bankruptcy law conference	Auto mileage, food
5. National Bankruptcy Conference	5/28/2015-5/29/2015	Washington, D.C.	Speaker at bankruptcy legislation conference	Auto mileage, food

FINANCIAL DISCLOSURE REPORT

Page 3 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

6.	Association of Insolvency & Restructuring Advisors	6/3/2015-6/5/2015	Philadelphia, PA	Speaker at bankruptcy law conference	Auto mileage, hotel, food
7.	Hudson Valley Bankruptcy Bar Association	9/24/2015-9/25/2015	Hyde Park, NY	Speaker at bankruptcy law conference	Auto mileage, hotel, food, honorarium
8.	National Conference of Bankruptcy Judges	9/27/2-15-9/29/2015	Miami, FL	Speaker at bankruptcy law conference	Airfare, hotel, food, other transportation
9.	American Bankruptcy Institute/Georgetown Law School	10/8/2015-10/9/2015	Washington, DC	Speaker at bankruptcy law views from the bench conference	Auto mileage, food
10.	Capital Region and Central New York Bankruptcy Bar	10/23/2015-10/24/2015	Cooperstown, NY	Speaker at bankruptcy law conference	Auto mileage, hotel, food

FINANCIAL DISCLOSURE REPORT

Page 4 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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	B	Int./Div.	K	T					
3. FifthThird Bancorp common	A	Dividend	J	T					
4. US Trust Managed Common Account (no control)	F	Int./Div.	P1	T					
5. -Alexion Pharmaceuticals					Sold (part)	02/25/15	J	B	
6. -Alphabet Inc. Com (formerly Google)									
7. -Amazon									
8. -American Express					Sold (part)	07/20/15	J		
9.					Sold	07/21/15	J	A	
10. -Apple					Sold (part)	07/06/15	J	A	
11. -Aston Montag & Caldwell Grwth Fnd Cl 1									
12. -Autozone									
13. -BB&T Corp.					Buy	07/20/15	J		
14.					Buy (add'l)	07/21/15	J		
15. -Berkshire Hathaway Cl B					Buy (add'l)	08/12/15	J		
16. -Cerner									
17. -Chipotle					Buy (add'l)	06/26/15	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)

18. -Col. Dividend Income FD Cl. Z									
19. -Col. Select Large Cap Growth FD Cl. Z					Redeemed (part)	10/06/15	J	C	
20. -Comcast Corp.									
21. -Costco Whsl									
22. -Danaher									
23. -Disney Walt Co.					Buy	08/10/15	J		
24.					Buy (add'l)	08/25/15	J		
25. -EMC									
26. -EOG Res. Inc.					Buy	02/12/15	J		
27.					Buy (add'l)	07/06/15	J		
28.					Sold	12/22/15	J		
29. -Exxon Mobil					Sold (part)	07/01/15	J	B	
30. -Facebook					Sold (part)	07/06/15	J		
31.					Buy (add'l)	08/26/15	J		
32. -Gilead					Sold (part)	03/04/15	J	C	
33. -Google (now Alphabet Inc.)					Buy (add'l)	04/01/15	J		
34.					Sold (part)	07/06/15	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)

35.					Merged (with line 6)	10/02/15	K		
36. -Hershey									
37. -Home Depot					Sold (part)	08/25/15	J	A	
38. -iShares Russell 1000 Growth					Buy	12/22/15	K		
39. -Johnson & Johnson									
40. -Kraft Foods					Merged (with line 41)	07/27/15	K	C	
41. -Kraft Heinz (formerly Kraft Foods)									
42. -Las Vegas Sands									
43. -Lauder Estee Cos. Inc. Cl A					Buy	01/15/15	J		
44.					Buy (add'l)	01/16/15	J		
45. -Mastercard									
46. -McKesson					Sold (part)	07/06/15	J	A	
47. -MFS Value FD Cl 1									
48. -Microsoft Corp.									
49. -Mondelez Intl									
50. -Monsanto New Com.									
51. -Morgan Stanley					Sold (part)	07/06/15	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)
52. -National Oilwell Varco					Sold	12/11/15	J	B	
53. -Priceline					Sold (part)	07/06/15	J	A	
54. -Regeneron Pharma					Sold (part)	02/25/15	J	A	
55.					Sold (part)	08/26/15	J	A	
56.					Sold (part)	10/01/15	J	A	
57.					Sold (part)	10/02/15	J	A	
58.					Sold (part)	12/07/15	J	B	
59. -Salesforce Com. Inc.									
60. -SPDR S&P Dividend ETF									
61. -Starbucks									
62. -Target									
63. -TCW Select Equities FD Cl 1									
64. -Tesla Motors									
65. -TJX Cos.					Sold (part)	08/25/15	J	A	
66. -3M Co.					Sold	08/10/15	J	A	
67. -Union Pacific					Sold (part)	08/10/15	J		
68.					Sold (part)	12/22/15	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)
69.					Sold (part)	12/23/15	J		
70. -Verizon Com.									
71. -Zoetis Inc.									
72. -Amphenol									
73. -Church & Dwight									
74. -Fireeye					Sold (part)	07/06/15	J	A	
75.					Sold (part)	12/18/15	J		
76.					Sold (part)	12/21/15	J		
77. -FMC Technologies Inc.					Sold (part)	10/07/15	J		
78.					Sold	10/08/15	J		
79. -Hunt JB Trans.									
80. -Intl Flavors & Fragrances					Sold (part)	06/26/15	J	A	
81.					Sold (part)	06/29/15	J	A	
82.					Sold (part)	06/30/15	J	A	
83.					Sold (part)	07/01/15	J	A	
84.					Sold	07/02/15	J	A	
85. -Lazard Ltd.					Buy	02/25/15	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)
86.					Buy (add'l)	02/26/15	J		
87.					Buy (add'l)	02/27/15	J		
88.					Buy (add'l)	04/22/15	J		
89.					Buy (add'l)	04/23/15	J		
90.					Buy (add'l)	04/24/15	J		
91.					Buy (add'l)	12/07/15	J		
92. -Now Inc.					Sold	10/08/15	J	A	
93. -Polaris Inds.					Sold	12/22/15	J		
94. -Quanta Svcs Inc.					Buy	07/01/15	J		
95.					Buy (add'l)	07/02/15	J		
96.					Buy (add'l)	07/06/15	J		
97.					Buy (add'l)	07/07/15	J		
98.					Buy (add'l)	12/07/15	J		
99.					Buy (add'l)	12/08/15	J		
100. -Renaissance Hldgs.									
101. -Rockwell Automation					Sold (part)	11/20/15	J		
102.					Sold (part)	11/23/15	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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)
103.					Sold (part)	11/27/15	J		
104.					Sold (part)	11/30/15	J		
105.					Sold	12/01/15	J	A	
106. -Stericycle					Buy	03/04/15	J		
107.					Buy (add'l)	03/05/15	J		
108.					Buy (add'l)	03/06/15	J		
109.					Buy (add'l)	03/09/15	J		
110.					Buy (add'l)	03/11/15	J		
111.					Buy (add'l)	03/12/15	J		
112.					Buy (add'l)	03/13/15	J		
113.					Sold (part)	12/18/15	J		
114.					Sold (part)	12/21/15	J		
115.					Sold	12/22/15	J		
116. -United Rentals Inc.					Sold (part)	03/04/15	J		
117.					Sold (part)	03/05/15	J	A	
118.					Sold	03/06/15	J	A	
119. -Vanguard Mid-Cap ETF									

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -Dynavax Techonogies					Buy	09/30/15	J		
121.					Buy (add'l)	10/01/15	J		
122.					Buy (add'l)	10/02/15	J		
123.					Buy (add'l)	10/05/15	J		
124.					Buy (add'l)	10/06/15	J		
125.					Buy (add'l)	10/07/15	J		
126.					Buy (add'l)	11/04/15	J		
127.					Buy (add'l)	11/05/15	J		
128.					Buy (add'l)	11/06/15	J		
129.					Buy (add'l)	11/09/15	J		
130.					Buy (add'l)	11/10/15	J		
131.					Buy (add'l)	11/11/15	J		
132.					Buy (add'l)	11/12/15	J		
133.					Buy (add'l)	11/13/15	J		
134.					Buy (add'l)	11/16/15	J		
135. -Enstar Grp. Ltd.					Sold (part)	03/12/15	J	A	
136.					Sold (part)	03/16/15	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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.					Sold (part)	03/17/15	J	A	
138.					Sold (part)	03/18/15	J	A	
139.					Sold (part)	03/19/15	J	A	
140. -Hexcel Corp.									
141. -Ship Fin. Intl Ltd.					Sold (part)	01/02/15	J		
142.					Sold (part)	01/05/15	J		
143.					Sold	01/06/15	J		
144. -Actelion Ltd					Sold (part)	08/26/15	J	B	
145.					Sold (part)	12/07/15	J	B	
146. -Allergan PLC					Buy	03/04/15	J		
147.					Buy (add'l)	12/23/15	J		
148. -Alibaba					Buy (add'l)	04/01/15	J		
149.					Buy (add'l)	04/02/15	J		
150.					Buy (add'l)	04/22/15	J		
151.					Buy (add'l)	08/26/15	J		
152.					Buy (add'l)	11/18/15	J		
153.					Sold (part)	12/29/15	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -Anheuser Busch Inbev					Buy (add'l)	06/26/15	J		
155.					Buy (add'l)	06/29/15	J		
156. -Brilliance China Automotive					Sold (part)	06/11/15	J		
157.					Sold (part)	06/12/15	J		
158.					Sold (part)	06/15/15	J		
159.					Sold	06/16/15	J	A	
160. -Compagnie Financiere Richemont					Sold (part)	04/01/15	J		
161.					Sold	04/02/15	J		
162. -Core Labs									
163. -Dassault Systems									
164. -Fanuc Corp.					Buy (add'l)	04/23/15	J		
165.					Buy (add'l)	12/08/15	J		
166. -Givaudan AG					Sold	06/26/15	J	B	
167. -Hitachi									
168. -Icici Bank Ltd. ADR					Buy	06/26/15	J		
169.					Buy (add'l)	06/29/15	J		
170.					Buy (add'l)	06/30/15	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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.					Buy (add'l)	11/25/15	J		
172.					Buy (add'l)	11/27/15	J		
173.					Buy (add'l)	11/30/15	J		
174. -Jardine Strat. Hldgs. Ltd.					Sold (part)	02/06/15	J		
175.					Sold (part)	02/09/15	J		
176.					Sold (part)	02/10/15	J		
177.					Sold (part)	02/11/15	J		
178.					Sold (part)	02/12/15	J		
179.					Sold (part)	02/13/15	J		
180.					Sold (part)	02/17/15	J		
181.					Sold (part)	02/23/15	J		
182.					Sold (part)	02/25/15	J		
183.					Sold (part)	02/26/15	J		
184.					Sold (part)	03/13/15	J		
185.					Sold (part)	03/26/15	J		
186.					Sold (part)	03/27/15	J		
187.					Sold (part)	03/30/15	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Sold (part)	08/14/15	J		
189.					Sold (part)	08/17/15	J		
190.					Sold (part)	08/18/15	J		
191.					Sold (part)	08/19/15	J		
192.					Sold	08/24/15	J		
193.					Sold (part)	08/25/15	J		
194.					Sold (part)	08/26/15	J		
195.					Sold (part)	08/27/15	J		
196.					Sold (part)	08/28/15	J		
197.					Sold (part)	08/31/15	J		
198.					Sold	09/01/15	J		
199. -JD.Com Inc. ADR					Buy (add'l)	11/18/15	J		
200. -Keyence Corp.									
201. -Kuka AG					Sold (part)	02/25/15	J	A	
202.					Sold (part)	02/26/15	J	B	
203. -LyondellBasell									
204. -Mobileye NV					Buy	09/30/15	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		

FINANCIAL DISCLOSURE REPORT

Page 17 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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.					Buy (add'l)	10/01/15	J		
206.					Buy (add'l)	10/02/15	J		
207.					Buy (add'l)	10/07/15	J		
208.					Buy (add'l)	10/08/15	J		
209.					Buy (add'l)	11/25/15	J		
210.					Buy (add'l)	12/07/15	J		
211.					Buy (add'l)	12/08/15	J		
212. -Nidec Corp.									
213. -Noble Grp. Ltd.					Sold (part)	04/23/15	J		
214.					Sold (part)	04/24/15	J		
215.					Sold (part)	04/28/15	J		
216.					Sold (part)	04/29/15	J		
217.					Sold	04/30/15	J		
218. -Novo-Nordisk ADR					Sold (part)	02/25/15	J	A	
219.					Sold (part)	08/26/15	J	A	
220.					Sold (part)	08/27/15	J	A	
221. -Novozymes									

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	

FINANCIAL DISCLOSURE REPORT

Page 18 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -NXP Semiconductors					Buy (add'l)	04/22/15	J		
223. -Onex									
224. -Roch Hldgs									
225. -Rolls Royce Hldgs					Sold	01/08/15	J	A	
226. -Salvatore Farragamo Italia					Buy (add'l)	03/05/15	J		
227.					Buy (add'l)	02/06/15	J		
228.					Sold (part)	11/18/15	J		
229.					Sold (part)	11/19/15	J		
230.					Sold (part)	11/20/15	J		
231.					Sold	11/23/15	J		
232. -Softbank									
233. -Tencent Hldgs Ltd.					Buy	12/15/15	J		
234. -Valeant Pharmaceuticals Intl.					Sold (part)	02/25/15	J	A	
235.					Sold (part)	08/25/15	J		
236.					Sold (part)	09/30/15	J	A	
237.					Sold (part)	10/01/15	J	A	
238.					Sold (part)	10/02/15	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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.					Sold (part)	10/26/15	J	B	
240. -Wynn Macau Ltd.					Sold (part)	07/02/15	J		
241.					Sold	07/03/15	J		
242. -NY NY Go Ref BDS									
243. -Babylon NY Pub Impt BDS									
244. -North Hempstead NY Pub Impt BDS									
245. -Port Auth NY & NJ CONS BDS OID 2012									
246. -NY St. Dorm Auth Pers BDS 2022									
247. -BofA Tax Exempt Reserves					Distributed (part)	07/14/15	K		
248.					Distributed (part)	10/05/15	J		
249.					Distributed (part)	10/06/15	J		
250. US Trust managed IRA Rollover Account (no control)	E	Int./Div.	P1	T					
251. -BofA Money Market Savings									
252. -Col. Dividend Income Fd					Redeemed	03/02/15	K	D	
253. -Col. Select Large Cap Growth Fd C1 Z									
254. -iShares Core S&P 500 ETF					Buy	03/04/15	M		
255.					Buy (add'l)	05/06/15	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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -MFS Value Fd C1 1					Redeemed	03/02/15	K	C	
257. -Oakmark Select Fd C1 1					Buy	03/02/15	K		
258. -TCW Select Equities Fd					Redeemed	03/02/15	L	D	
259. -Baird Midcap Fd					Redeemed (part)	04/01/15	J	A	
260.					Redeemed	10/01/15	J		
261. -Ishares Core S&P Mid Cap ETF					Redeemed (part)	10/05/15	K		
262. -Ishares Russell Mid Cap ETF					Buy	10/05/15	K		
263. -Ridgeworth Mid Cap Vlaue Equity Fd					Buy (add'l)	03/02/15	J		
264.					Redeemed (part)	04/01/15	J		
265.					Redeemed	10/01/15	J		
266. -MFS Mid Cap Value Fd C1 1					Buy	10/01/15	J		
267. -Ishares Russell 2000 ETF					Buy (add'l)	10/05/15	J		
268. -Touchstone Small Cap Growth Fd									
269. -Undiscovered Managers Behavioral Value Fd					Redeemed	10/05/15	J		
270. -DB X-Trackers MSCI EAFE Hedged Equity Fd					Buy	03/04/15	J		
271.					Redeemed (part)	04/06/15	J	A	
272.					Buy (add'l)	10/01/15	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	

FINANCIAL DISCLOSURE REPORT

Page 21 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -Invesco Intl Growth Fd					Redeemed (part)	10/01/15	K		
274. -iShares Core MSCI EAFE ETF					Buy	10/05/15	K		
275. -JP Morgan Intl Value Fd					Redeemed	10/01/15	K		
276. -Vanguard FTSE Developed Mkts ETF					Redeemed (part)	03/04/15	L		
277.					Redeemed	04/01/15	J	A	
278. -Wisdomtree Europe Hedged Equity Fd					Buy	04/06/15	J		
279.					Buy (add'l)	10/05/15	J		
280. -Walmart Stores Sr. Nt					Sold	04/01/15	K		
281. -Schroder Emerging Market Equity Fd					Buy	06/01/15	K		
282.					Buy	10/01/15	J		
283. -Bank of NY Med Term Sr. Nt.					Matured	06/18/15	K		
284. -Berkshire Hathaway Fin Corp Gtd Sr Nt.									
285. -Citigroup Inc Unsecd Sr. Nt					Buy	07/24/15	K		
286. -JPMorgan Chase Sr Unsecd Nt					Buy	04/20/15	K		
287. -Walmart Stores Sr. Unsecd Nt					Buy	07/24/15	K		
288. -Col. Income Opp. Fd C1 Z					Buy (add'l)	07/22/15	K		
289. -CMG Ultra Short Term Bond Fd					Buy	07/22/15	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 22 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. -Fidelity Advisor Floating Rt. High Income Fd					Redeemed	06/30/15	J		
291. -Col. Emerging Markets Fd					Redeemed (part)	04/01/15	J	A	
292.					Redeemed	06/01/15	K	B	
293. -Goldman Sachs Absolute Return Tracker Fd					Buy (add'l)	03/02/15	J		
294.					Redeemed (part)	10/01/15	J		
295. -Goldman Sachs Strategic Income Fd					Buy (add'l)	03/02/15	J		
296.					Redeemed (part)	10/01/15	J		
297. -Hatteras Alpha Hedged Strategies Fd					Buy (add'l)	03/02/15	J		
298.					Redeemed (part)	10/01/15	J		
299. -Prudential Global Real Estate Fd C1 Z					Redeemed (part)	03/02/15	K	C	
300. -Vanguard REIT ETF					Buy	03/04/15	K		
301.					Redeemed (part)	04/06/15	J	A	
302.					Buy (add'l)	06/03/15	J		
303.					Redeemed (part)	10/05/15	J		
304. -Credit Suisse Commodity-Return Fd					Buy (add'l)	03/02/15	J		
305.					Buy (add'l)	10/01/15	J		
306. Fifth Third Bancorp common	A	Int./Div.	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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. US Trust IRA (no control)	D	Int./Div.	N	T					
308. -BofA Money Market					Sold (part)	07/31/15	L		
309. -SPDR S&P Div. ETF									
310. -SPDR S&P 500 ETF									
311. -Vanguard Mid-Cap ETF									
312. -Vanguard Small-Cap ETF									
313. -US Treas Strips									
314. -Col. Select Large Cap Growth Fd Cl. Z									
315. -CMG Ultra Short Term Bond Fd					Buy	07/22/15	K		
316. NYS 529 savings program #1-Moderate Age-Based Option Income Portfolio	B	Int./Div.	K	T	Distributed (part)	01/05/15	K		
317. NYS 529 savings program #2-Moderate Age-Based Option Income Portfolio	C	Int./Div.	L	T	Distributed (part)	12/14/15	J		
318. NYS 529 savings program #3-Moderate Age-Based Option Income Portfolio	C	Int./Div.	L	T	Distributed (part)	06/19/15	K		
319.					Distributed (part)	09/16/15	K		
320.					Distributed (part)	12/14/15	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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

1. Part VII, line 3 of my Financial Disclosure Report for 2014 listed Access Financial Account #3. We did not treat the owner of this account in 2015 as a dependent; therefore, it does not appear in my current Financial Disclosure Report.
2. Part VII, line 4 of my Financial Disclosure Report for 2014 incorrectly listed Access Financial Account #3 as "redeemed (part)" on 12/10/14; in fact it should have been listed as "redeemed" and I am accordingly amending my 2014 Financial Disclosure Report to reflect such change. This is why Access Financial Account #3 does not appear on my current Financial Disclosure Report.
3. Part VII, lines 5-250, columns B and C. The U.S. Trust-managed account described on line 5 is held and managed by U.S. Trust as a fiduciary for my wife and me. It is not a personal brokerage or financial management account. We have no discretion with respect to any of the individual assets in the account, which are listed in lines 6-250. Instead, U.S. Trust makes each investment, buy or sell decision with respect to the individual assets in the account. We are able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
4. Part VII, line 20 in my Financial Disclosure Report for 2014 incorrectly listed Anadarko Petroleum as "sold (part)" on 12/15/2014. In fact, it should have been listed as "sale" and I am accordingly amending my 2014 Financial Disclosure Report to reflect such change. This is why Anadarko Petroleum does not appear on my current Financial Disclosure Report.
5. Part VII, lines 251-305, columns B and C. The U.S. Trust-managed account described on line 251 is held and managed by U.S. Trust as a fiduciary for me. It is not a personal brokerage or financial management account. I have no discretion with respect to any of the individual assets in the account, which are listed in lines 252-305. Instead, U.S. Trust makes each investment buy or sell decision with respect to the individual assets in the account. I am able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
6. Part VII, lines 307-315, columns B and C. The U.S. Trust-managed account described on line 307 is held and managed by U.S. Trust as a fiduciary for my wife. It is not a personal brokerage or financial management account. My wife has no discretion with respect to any of the individual assets in the account, which are listed in lines 308-315. Instead, U.S. Trust makes each investment buy or sell decision with respect to the individual assets in the account. My wife is able to increase or decrease the aggregate investment in the account (in addition to periodically being able to change risk categories). I therefore reported the assets in the account in accordance with the method for reporting trust assets in the filing instructions.
7. Part VII, line 314. In my Financial Disclosure Report for 2014, inadvertently omitted this asset of the managed account described in line 307. I am accordingly amending my 2014 Financial Disclosure Report to reflect such asset.

FINANCIAL DISCLOSURE REPORT

Page 25 of 25

Name of Person Reporting

Drain, Robert D.

Date of Report

05/09/2016

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