

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/15/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Bankruptcy Court, S.D.N.Y. 300 Quarropas Street White Plains, New York 10601	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Sign on last page.		

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	02/03/11-02/06/11	Grand Cayman, Cayman Islands	Speaker	Speaker/conferee at annual conference on transnational bankruptcy issues (Transportation, Hotel, Food)
2.	Wharton School of Business	02/18/11	Philadelphia, PA	Speaker	Speaker at annual conference on bankruptcy issues (Transportation, Food)
3.	American Bankruptcy Institute/University of Texas Law School	02/24/11-02/25/11	Las Vegas, NV	Speaker	Speaker at annual conference on bankruptcy valuation issues (Transportation, Hotel, Food)
4.	American Bankruptcy Institute	04/01/11-10	Washington, DC	Speaker	Speaker/conferee at annual conference on bankruptcy issues (Transportation, Food)

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5.	University of Kentucky Law School	06/01/11-06/03/11	Louisville, KY	Speaker	Speaker at annual conference on bankruptcy issues (Transportation, Hotel, Food)
6.	Hudson Valley Bankruptcy Bar Association	09/08/11-09/09/11	Hyde Park, NY	Speaker	Speaker at annual consumer bankruptcy law conference (Transportation, Hotel, Food)
7.	American Bankruptcy Institute/Georgetown University Law Center	09/15/11-09/16/11	Washington, DC	Speaker	Speaker at annual "views from the bench" conference on bankruptcy law issues (Transportation, Food)

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Sister-in-law	Cash gift	\$13,000.00
2.	Sister-in-law	Cash gift	\$13,000.00
3.	Sister-in-law	Cash gift	\$13,000.00
4.	Sister-in-law	Cash gift	\$13,000.00
5.	-Sister-in-law	Cash gift	\$13,000.00

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

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

1. Citibank Account #1	A	Interest	J	T					
2. Citibank Account #2	A	Interest	J	T					
3. Access Financial Account #1	B	Int./Div.	M	T					
4. Access Financial Account #2	B	Interest	L	T					
5. FifthThird Bancorp common	B	Dividend	J	T					
6. Access Financial Account #3	B	Interest	K	T					
7. FifthThird Bancorp common	A	Dividend	J	T					
8. US Trust Managed US TCommon Account (no control)	E	Int./Div.	P1	T					See note in Part VIII
9. -Amex									
10. -Am. Tower									
11. -Apache									
12. -Avon									
13. -Caterpillar									
14. -Col. Value & Restr. FD Class Z									
15. -Express Scripts									
16. -Exxon Mobil									
17. -Feeport-McMoran Copper & Gold Com.									

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

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18. -Mastercard CL A									
19. -Morgan Stanley									
20. -National Oilwell Varco									
21. -Philip Morris Intl									
22. -Qualcomm									
23. -Target									
24. -Union Pac									
25. -AES									
26. -Bally Techs									
27. -Big Lots									
28. -Cameron Intl									
29. -Cimarex Energy									
30. -Dover									
31. -Hospira									
32. -Principal Finl									
33. -Collective Brands									
34. -Columbia Select Small Cap FD CL Z									

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35. -TCF Finl									
36. -Siemens AG Sponsored ADR									
37. -Thompson Creek Metals									
38. -Weatherford Intl									
39. -Ishares MSCI Emerging Mkts Index FD									
40. -Itau Unibanco Hldg Sponsored ADR									
41. -Mobile Telesystems Sponsored ADR									
42. -Petroleo Brasileiro Sponsored ADR									
43. -Teva Pharmaceutical ADR									
44. -Port Auth NY & NJ Cons Bds-OID									
45. -Blackrock Muniholdings INSD FD									
46. -Columbia NY Inter Muni BD FD CL z									
47. -Pimco Commodity Realreturn Strategy FD									
48. -Ebay									
49. -GSI Comm									
50. -Alliance Data Sys									
51. -Ferro Corp.									

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52. -CTrip Com Intl									
53. -Primerica									
54. -Kraft Foods CL A									
55. -NV Energy									
56. -Insituform Tech.									
57. -Varian Semiconductor									
58. -Allergan									
59. -Noble Corp.									
60. -Caseys Gen Stores									
61. -Manpower Inc.									
62. -Comcast New CL A									
63. -Denbury Res.									
64. -SEI Investments									
65. -Waddell & Reed Finl									
66. -BE Aerospace									
67. -Oracle									
68. -Sina Com									

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69. -CVS Caremark									
70. -Celgene									
71. -Pepsico									
72. -FEI									
73. -Advanced Micro Devices									
74. -EMC									
75. -Loews Cos.									
76. -Amex									
77. -Goodyear									
78. -DTS									
79. -Col Select Large Cap Growth FD CL Z									
80. -Vale ADR									
81. -Foster Wheeler									
82. -Tennant									
83. -BoFA Tax-Exempt Reserves									
84. -Cash					Distributed (part)	01/03/11	J		
85. -Cash					Distributed (part)	01/26/11	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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86. -Cash					Distributed (part)	01/31/11	K		
87. -Foster Wheeler					Buy (add'l)	01/06/11	J		
88. -Noble Corp.					Buy (add'l)	01/06/11	J		
89. -American Tower Corp.					Buy (add'l)	01/06/11	J		
90. -CVS Caremark Corp.					Buy (add'l)	01/06/11	J		
91. -Caseys Gen Stores					Buy (add'l)	01/06/11	J		
92. -CTRIP Com Intl					Buy (add'l)	01/06/11	J		
93. -JP Morgan Chase					Buy	01/06/11	K		
94. -Mobile Telesystems ADR					Buy (add'l)	01/06/11	J		
95. -Morgan Stanley					Buy (add'l)	01/06/11	K		
96. -Petroleo Brasileiro SA ADR					Buy (add'l)	01/06/11	J		
97. -Quanta SVCS					Buy (add'l)	01/06/11	J		
98. -Wells Fargo Com					Buy (add'l)	01/06/11	K		
99. -Foster Wheeler					Buy (add'l)	01/07/11	J		
100. -BE Aerospace					Buy (add'l)	01/07/11	J		
101. -Tennant					Buy (add'l)	01/07/11	J		
102. -Col. Select Large Cap Growth FD Class Z					Buy (add'l)	01/11/11	L		

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103. -SPX Corp.					Buy	01/12/11	J		
104. -PIMCO Commodity RealReturn FD					Buy (add'l)	01/12/11	K		
105. -Vanguard Intl Equit Index FDS					Buy	01/13/11	L		
106. -SPX Corp.					Buy (add'l)	01/13/11	J		
107. -Advanced Micro Devices					Buy (add'l)	01/18/11	J		
108. -NY St. Dorm. Auth St. Pers. Income Tx Rev. BDS					Buy	01/18/11	M		
109. -Peabody Energy					Buy	01/18/11	J		
110. -Parexell Intl Corp.					Buy	01/27/11	J		
111. -Parexel Intl Corp.					Buy	01/28/11	J		
112. -NYSE Euronext					Buy	01/31/11	J		
113. -Sina Com.					Sold (part)	01/06/11	J	A	
114. -Weatherford Intl					Sold (part)	01/06/11	J	A	
115. -AES Corp					Sold (part)	01/06/11	J	A	
116. -Admanced Micro Devices					Sold (part)	01/06/11	J	A	
117. -Allergan					Sold (part)	01/06/11	J	A	
118. -Alliance Data Sys					Sold (part)	01/06/11	J	A	
119. -Amex					Sold (part)	01/06/11	J		

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120. -Apache					Sold (part)	01/06/11	J	A	
121. -Avon Prods					Sold (part)	01/06/11	J		
122. -Bally Technologies					Sold (part)	01/06/11	J	A	
123. -Barnes Grop					Sold (part)	01/06/11	J	A	
124. -BE Aerospace					Sold (part)	01/06/11	J	A	
125. -Big Lots					Sold (part)	01/06/11	J		
126. -Cameron Intl					Sold (part)	01/06/11	J	A	
127. -Caterpillar					Sold (part)	01/06/11	J	A	
128. -Celgene					Sold (part)	01/06/11	J	A	
129. -Cimarex Energy					Sold (part)	01/06/11	J	A	
130. -Comcast					Sold (part)	01/06/11	J	A	
131. -DTS					Sold (part)	01/06/11	J	A	
132. -Denbury Res.					Sold (part)	01/06/11	J	A	
133. -Dover					Sold (part)	01/06/11	J	A	
134. -EMC					Sold (part)	01/06/11	J	A	
135. -EOG Res.					Sold (part)	01/06/11	J	A	
136. -Ebay					Sold (part)	01/06/11	J	A	

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

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Name of Person Reporting

Drain, Robert D.

Date of Report

05/15/2012

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. -Express Scripts					Sold (part)	01/06/11	J		
138. -Exxon					Sold (part)	01/06/11	J	A	
139. -FEI					Sold (part)	01/06/11	J	A	
140. -Ferro					Sold (part)	01/06/11	J	A	
141. -Feeport-McMoran Copper & Gold					Sold (part)	01/06/11	J	A	
142. -GSI Comm					Sold (part)	01/06/11	J		
143. -Goodyear					Sold (part)	01/06/11	J	A	
144. -Hospira					Sold	01/06/11	J	A	
145. -Instituform					Sold (part)	01/06/11	J	A	
146. -Itau Unibanco ADR					Sold (part)	01/06/11	J	A	
147. -Kraft Foods					Sold (part)	01/06/11	J	A	
148. -Lowes Cos.					Sold (part)	01/06/11	J	A	
149. -Manpower Inc.					Sold (part)	01/06/11	J	A	
150. -National Oilwell Varco					Sold (part)	01/06/11	J	A	
151. -Oracle					Sold (part)	01/06/11	J	A	
152. -Pepsico					Sold (part)	01/06/11	J		
153. -Primerica					Sold (part)	01/06/11	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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05/15/2012

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. -Principal Fin Grp.					Sold (part)	01/06/11	J	A	
155. -Qualcomm					Sold (part)	01/06/11	J	A	
156. -SEI Invest.					Sold (part)	01/06/11	J	A	
157. -Siemens AG Sponsored ADR					Sold (part)	01/06/11	J	A	
158. -TCF Fin.					Sold (part)	01/06/11	J	A	
159. -Tennant					Sold (part)	01/06/11	J	A	
160. -Teva Pharmaceutical ADR					Sold (part)	01/06/11	J		
161. -Thompson Creek Metals					Sold (part)	01/06/11	J	A	
162. -Ticbo Software					Sold (part)	01/06/11	J	A	
163. -Union Pac. Corp.					Sold (part)	01/06/11	J	A	
164. -Vale SA ADR					Sold (part)	01/06/11	J	A	
165. -Varian Semiconductor					Sold (part)	01/06/11	J	A	
166. -Waddell & Reed Finl					Sold (part)	01/06/11	J	A	
167. -Barnes Grp.					Sold (part)	01/07/11	J		
168. -Barnes Grp.					Sold	01/10/11	J	A	
169. -Caterpillar					Sold (part)	01/12/11	J	B	
170. -Dover					Sold (part)	01/12/11	J	B	

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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Name of Person Reporting

Drain, Robert D.

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05/15/2012

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. -Exxon					Sold (part)	01/18/11	J	C	
172. -Varia Semiconductor					Sold (part)	01/18/11	J	B	
173. -Apache Corp.					Sold (part)	01/27/11	J	A	
174. -Express Scripts					Sold (part)	01/27/11	J	A	
175. -Freeport-McMoran Copper & Gold					Sold (part)	01/27/11	J	A	
176. -Thompson Creek Metals					Sold (part)	01/27/11	J	A	
177. -Primerica					Sold (part)	01/31/11	J	A	
178. -BoFA Tax-Exempt Reserves					Sold (part)	01/03/11	J		
179. -BoFA Tax-Exempt Reserves					Sold (part)	01/06/11	L		
180. -BoFA Tax-Exempt Reserves					Sold (part)	01/11/11	L		
181. -BoFA Tax Exempt Reserves					Sold (part)	01/12/11	K		
182. -BoFA Tax Exempt Reserves					Sold (part)	01/13/11	L		
183. -BoFA Tax Exempt Reserves					Sold (part)	01/18/11	M		
184. -BoFA Tax Exempt Reserves					Sold (part)	01/21/11	J		
185. -BoFA Tax Exempt Rerserves					Sold (part)	01/31/11	K		
186. -Citigroup					Buy	02/07/11	K		
187. -HDFC Bk					Buy	02/16/11	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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05/15/2012

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. -Babylon NY Pub Impt BDS					Buy	02/16/11	M		
189. -NYY Geo Ref Bds					Buy	02/16/11	M		
190. -CTrip Com. Intl					Buy (add'l)	02/23/11	J		
191. --DTS					Buy (add'l)	02/28/11	J		
192. -North Hempstead NY Pub Impt GO BD					Buy	02/28/11	M		
193. -Unilever					Buy	02/28/11	J		
194. -Port Auth NY & NJ Cons.					Buy	02/28/11	M		
195. -Primerica					Sold (part)	02/01/11	J	A	
196. -Primerica					Sold	02/02/11	J	A	
197. -Principal Fin Grp					Sold (part)	02/07/11	J	A	
198. -Wells Fargo					Sold	02/07/11	K	C	
199. -Waddell & Reed Finl					Sold (part)	02/16/11	J	C	
200. -Col. NY Inter Muni BD FD					Redeemed	02/17/11	M	A	
201. -Big Lots					Sold (part)	02/22/11	J	A	
202. -Big Lots					Sold	02/23/11	J	A	
203. -Alliance Data Sys					Sold (part)	02/28/11	J	A	
204. -Qualcomm					Sold (part)	02/28/11	J	A	

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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05/15/2012

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. -Varian Semiconductor					Sold (part)	02/28/11	J	C	
206. -Comstock Res					Buy	03/02/11	K		
207. -Medtronic					Buy	03/02/11	K		
208. -Thermo Fisher Scientific					Buy	03/02/11	K		
209. -Greenhill & Co.					Buy	03/03/11	J		
210. -HDFC Bank					Buy (add'l)	03/03/11	J		
211. -Kraft Foods					Buy (add'l)	03/03/11	J		
212. -Pepsico					Buy (add'l)	03/03/11	J		
213. -Progressive Corp. Ohio					Buy	03/03/11	J		
214. -Unilever					Buy (add'l)	03/03/11	J		
215. -Greenhill & Co.					Buy (add'l)	03/04/11	J		
216. -Progressive Corp. Ohio					Buy (add'l)	03/04/11	J		
217. -CTrip Com					Buy (add'l)	03/08/11	J		
218. -Whirlpool					Buy	03/08/11	J		
219. -Isoftstone Hldgs ADS					Buy (add'l)	03/18/11	J		
220. -Foster Wheeler					Buy (add'l)	03/21/11	J		
221. -Isoftstone Hldgs ADS					Buy (add'l)	03/21/11	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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05/15/2012

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. -Progressive Corp Ohio					Buy (add'l)	03/21/11	J		
223. -Whirlpool					Buy (add'l)	03/21/11	J		
224. -Isoftstone Hldgs ADS					Buy (add'l)	03/22/11	J		
225. -Central European Media Ent.					Buy	03/23/11	J		
226. -CTrip					Buy (add'l)	03/23/11	J		
227. -Isoftstone Hldgs ADS					Buy (add'l)	03/23/11	J		
228. -Central European Media Ent.					Buy (add'l)	03/24/11	J		
229. -Isoftstone Hldgs ADS					Buy (add'l)	03/24/11	J		
230. -Isoftstone Hldgs ADS					Buy (add'l)	03/25/11	J		
231. -Isoftstone Hldgs ADS					Buy (add'l)	03/28/11	J		
232. -Isoftstone Hldgs ADS					Buy (add'l)	03/29/11	J		
233. -Itau Unibanco ADR					Buy (add'l)	03/29/11	J		
234. -Progressive Corp Ohio					Buy (add'l)	03/29/11	J		
235. -Isoftstone Hldgs ADS					Buy (add'l)	03/30/11	J		
236. -Isoftstone Hldgs ADS					Buy (add'l)	03/31/11	J		
237. -Hewlett Packard					Buy	03/31/11	K		
238. -Noble					Sold	03/02/11	K	C	

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

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Name of Person Reporting

Drain, Robert D.

Date of Report

05/15/2012

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. -Col. NY Inter Muni BD FD CL Z					Redeemed	03/02/11	M	D	
240. -Allergan					Sold	03/02/11	J	B	
241. -Caterpillar					Sold	03/02/11	K	D	
242. -Denbury Res					Sold (part)	03/02/11	J	B	
243. -Express Scripts					Sold (part)	03/02/11	J	A	
244. -Phillip Morris					Sold	03/03/11	K	D	
245. -Principal Finl Grp					Sold	03/03/11	J	C	
246. -TCF Finl					Sold (part)	02/03/11	J	A	
247. -Waddell & Reed Finl					Sold (part)	03/03/11	J	C	
248. -TCF Finl					Sold (part)	03/04/11	J	A	
249. -Waddell & Reed					Sold	03/04/11	J	C	
250. -Lowes Cos					Sold	03/08/11	K	D	
251. -Varian Semiconductor					Sold	03/18/11	J	C	
252. -Bally Technologies					Sold (part)	03/23/11	J	C	
253. -Bally Technologies					Sold	03/24/11	J	C	
254. -Amex					Sold (part)	03/29/11	J	A	
255. -SEI Inv.					Sold (part)	03/29/11	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	

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Drain, Robert D.

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05/15/2012

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. -Sina Com					Sold (part)	03/31/11	J	D	
257. -GSI Comm					Sold	03/31/11	K	B	
258. -BofA Tax-Exempt Reserves					Buy (add'l)	03/02/11	K		
259. -BofA Tax-Exempt Reserves					Buy (add'l)	03/08/11	J		
260. -BofA Tax-Exempt Reserves					Buy (add'l)	03/18/11	J		
261. -BofA Tax-Exempt Reserves					Sold (part)	03/21/11	J		
262. -Nielsen Hldgs					Buy	04/18/11	J		
263. -Google					Buy	04/25/11	K		
264. -Manpower					Sold	04/18/11	J	C	
265. -Sina Com					Sold	04/25/11	J	D	
266. -HSBC Hldgs ADR					Buy (add'l)	05/02/11	J		
267. -Central European Medat Ent.					Buy (add'l)	05/03/11	J		
268. -General Mtrs					Buy	05/03/11	K		
269. -Teva Pharmaceutical ADR					Buy (add'l)	05/03/11	J		
270. -Monsanto					Buy	05/10/11	J		
271. -HSBC Hldgs ADR					Buy (add'l)	05/11/11	J		
272. -Wells Fargo					Buy (add'l)	05/11/11	K		

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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Name of Person Reporting

Drain, Robert D.

Date of Report

05/15/2012

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. -Citigroup					Buy (add'l)	05/31/11	J		
274. -Greenhill & Co.					Buy (add'l)	05/31/11	J		
275. -HDFC Bk ADR					Buy	05/31/11	J		
276. -Amex					Sold (part)	05/02/11	J	A	
277. -TCF Finl					Sold (part)	05/02/11	J	A	
278. -Alliance Data Sys					Sold (part)	05/03/11	J	B	
279. -EMC					Sold (part)	05/03/11	J	B	
280. -Insituform Tech					Sold	05/03/11	J	A	
281. -Tibco Software					Sold	05/03/11	J	D	
282. -Freeport-McMoran Copper & Gold					Sold	05/10/11	J	D	
283. -JP Morgan Chase					Sold	05/11/11	K	B	
284. -TCF Finl					Sold	05/31/11	J	A	
285. -Rovi Corp					Buy	06/03/11	J		
286. -Weyerhaeuser					Buy	06/13/11	J		
287. -Citigroup					Buy (add'l)	06/14/11	J		
288. -Wells Fargo					Buy (add'l)	06/14/11	J		
289. -Invesco Ltd					Buy (add'l)	06/27/11	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 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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Name of Person Reporting

Drain, Robert D.

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05/15/2012

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. -Peabody Energy					Buy (add'l)	06/27/11	J		
291. -FEI					Sold (part)	06/03/11	J	D	
292. -Amex					Sold	06/13/11	K	B	
293. -Pepsico					Sold (part)	06/14/11	J	A	
294. -NV Energy					Sold (part)	06/27/11	J	A	
295. -Pepsico					Sold (part)	06/27/11	J	A	
296. -NV Energy					Sold	06/28/11	J	A	
297. -Wellpoint					Buy	07/14/11	J		
298. -Advanced Micro Devices					Buy (add'l)	07/21/11	J		
299. -Google					Buy (add'l)	07/21/11	J		
300. -Whirlpool					Buy (add'l)	07/26/11	J		
301. -Parexel Intl					Sold (part)	07/14/11	J	A	
302. -Parexel Intl					Sold	07/15/11	J	A	
303. -Alliance Data Sys					Sold (part)	07/21/11	J	A	
304. -Greenhill & Co.					Sold	07/21/11	J		
305. -Energizer Hlds					Buy	08/08/11	J		
306. -Skyworks Solutions					Buy	08/08/11	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.

Date of Report

05/15/2012

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. -Invesco Ltd.					Buy (add'l)	08/09/11	J		
308. -Ace Ltd.					Buy	08/11/11	J		
309. -Comcast					Buy	08/11/11	J		
310. -Intercontinental Exchange					Buy	08/11/11	J		
311. -Merck					Buy	08/11/11	K		
312. -Pepsico					Buy (add'l)	08/11/11	J		
313. -Public Serv. Enterprise					Buy	08/12/11	J		
314. -Ace Ltd.					Buy (add'l)	08/12/11	J		
315. -Comcast					Buy (add'l)	08/12/11	J		
316. -Express Scripts					Buy (add'l)	08/12/11	J		
317. -Intercontinental Exchange					Buy (add'l)	08/12/11	J		
318. -Merck					Buy (add'l)	08/12/11	J		
319. -New Oriental Ed & Tech					Buy	08/12/11	J		
320. -Principal Fin. Grp					Buy	08/12/11	J		
321. -Public Serv. Enterprise					Buy (add'l)	08/12/11	J		
322. -Merck					Buy (add'l)	08/19/11	J		
323. -Monsanto					Buy (add'l)	08/22/11	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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05/15/2012

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. -Vale ADR					Buy (add'l)	08/22/11	J		
325. -Foster Wheeler					Buy (add'l)	08/23/11	J		
326. -Nielsen Hldgs					Buy (add'l)	08/23/11	J		
327. -Hess					Buy	08/23/11	J		
328. -Siemens					Buy (add'l)	08/23/11	J		
329. -EMC					Buy (add'l)	08/25/11	J		
330. -Google					Buy (add'l)	08/25/11	J		
331. -Amazon					Buy	08/26/11	K		
332. -Alliance Data Sys					Sold	08/08/11	J	C	
333. -Avon					Sold (part)	08/09/11	J	A	
334. -HDFC BK					Sold (part)	08/09/11	J	A	
335. -Avon					Sold	08/10/11	J	B	
336. -Central European Media					Sold (part)	08/11/11	J		
337. -AES					Sold (part)	08/11/11	J		
338. -CTrip					Sold (part)	08/11/11	J		
339. -Goodyear					Sold (part)	08/11/11	J	A	
340. -NYSE Euronext					Sold (part)	08/11/11	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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Name of Person Reporting

Drain, Robert D.

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05/15/2012

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. -Nat'l Oilwell					Sold (part)	08/11/11	J	B	
342. -SEI					Sold (part)	08/11/11	J		
343. -SPX					Sold (part)	08/11/11	J		
344. -Central European Media					Sold	08/12/11	J		
345. -Citigroup					Sold (part)	08/12/11	J		
346. -Comstock Res					Sold (part)	08/12/11	J		
347. -HSBC Hldgs					Sold (part)	08/12/11	J		
348. -Kraft Foods					Sold (part)	08/12/11	J	A	
349. -Hospira					Sold	08/19/11	J	C	
350. -Thompson Creek Metals					Sold	08/22/11	J	B	
351. -EOG Res					Sold	08/23/11	J	B	
352. -Quanta Svcs					Sold	08/23/11	J		
353. -Hewlett Packard					Sold	08/25/11	K		
354. -General Mtrs					Sold	08/26/11	J		
355. -Whirlpool					Sold (part)	08/26/11	J		
356. -PG&E					Buy	09/12/11	J		
357. -Express Scripts					Buy (add'l)	09/14/11	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.

Date of Report

05/15/2012

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. -Tyco Intl					Buy	09/16/11	J		
359. -AT&T					Buy (add'l)	09/23/11	J		
360. -Baidu Inc.					Buy	09/23/11	J		
361. -Electronic Arts					Buy (add'l)	09/23/11	J		
362. -First Rep. Bk San Fran					Buy	09/23/11	J		
363. -Exxon Mobil					Buy (add'l)	09/26/11	J		
364. -AT&T					Buy (add'l)	09/28/11	J		
365. -Electronic Arts					Buy (add'l)	09/28/11	J		
366. -John Hancock Inv't Tr II					Buy	09/28/11	J		
367. -PG&E					Buy (add'l)	09/28/11	J		
368. -Whirlpool					Sold	09/12/11	J		
369. -Isoftstone					Sold (part)	09/13/11	J		
370. -Isoftstone					Sold (part)	09/14/11	J		
371. -Isoftstone					Sold	08/15/11	J		
372. -Foster Wheeler					Sold	09/16/11	K		
373. -Citigroup					Sold (part)	09/23/11	J		
374. -DTS					Sold (part)	09/23/11	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.

Date of Report

05/15/2012

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. -FEI					Sold (part)	09/23/11	J	C	
376. -HSBC Hldgs					Sold	09/23/11	J		
377. -DTS					Sold (part)	09/26/11	J		
378. -FEI					Sold	09/26/11	J	A	
379. -Weatherford					Sold	09/26/11	K		
380. -DTS					Sold	09/27/11	J		
381. -Mastercard					Sold (part)	09/28/11	J		
382. -Mobile Telesystems					Sold	09/28/11	J		
383. -Exxon Mobil					Buy (add'l)	10/03/11	J		
384. -PG&E					Buy (add'l)	10/03/11	J		
385. -AT&T					Buy (add'l)	10/06/11	J		
386. -Home Depot					Buy	10/06/11	J		
387. -AT&T					Buy (add'l)	10/07/11	J		
388. -Analog Devices					Buy	10/07/11	J		
389. -Digital Rlty					Buy	10/07/11	J		
390. -Fifth Third Bancorp					Buy	10/07/11	J		
391. -Fiserv					Buy	10/07/11	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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05/15/2012

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. -Covidien					Buy (add'l)	10/12/11	J		
393. -Insulet					Buy	10/12/11	J		
394. -SLM Corp					Buy	10/12/11	J		
395. -Humana					Buy	10/14/11	J		
396. -Pfizer					Buy	10/14/11	J		
397. -Alkermes PLC					Buy	10/18/11	J		
398. -Alkermes PLC					Buy (add'l)	10/19/11	J		
399. -CA Inc.					Buy	10/21/11	J		
400. -Visa Inc.					Buy	10/21/11	K		
401. -SLM Corp					Buy (add'l)	10/26/11	J		
402. -Comstock Res					Sold (part)	10/03/11	J		
403. -Peabody Energy					Sold (part)	10/03/11	J		
404. -Petroleo Brasileiro ADR					Sold	10/03/11	K		
405. -Comstock Res					Sold	10/04/11	J		
406. -CTrip Com					Sold	10/06/11	K		
407. -Invesco Ltd.					Sold (part)	10/07/11	J		
408. -Advanced Micro Devices					Sold	10/07/11	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

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Name of Person Reporting

Drain, Robert D.

Date of Report

05/15/2012

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. -Citigroup					Sold (part)	10/07/11	J		
410. -Ebay					Sold (part)	10/07/11	J		
411. -HDFC Bk					Sold (part)	10/07/11	J		
412. -Itau Unibanco Hldg ADR					Sold (part)	10/07/11	J		
413. -Celgene					Sold (part)	10/12/11	J	A	
414. -Medtronic					Sold	10/12/11	K		
415. -Thermo Fischer Scientific					Sold (part)	10/12/11	J		
416. -Teva Phamraceutical ADR					Sold (part)	10/14/11	J		
417. -Wellpoint					Sold	10/14/11	J		
418. -Celegene					Sold (part)	10/18/11	J	A	
419. -Dover					Sold (part)	10/21/11	J	B	
420. -Mastercard					Sold (part)	10/21/11	K	D	
421. -Citigroup					Sold (part)	10/26/11	J		
422. -Wells Fargo					Sold (part)	10/26/11	J		
423. -Gilead Sciences					Buy	12/08/11	J		
424. -SPDR S&P Dividend ETF					Buy	12/09/11	L		
425. -SPDR S&P Dividend ETF					Buy (add'l)	12/14/11	L		

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		

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)
426. -Air Prods & Chems					Buy	12/16/11	J		
427. -Weight Watchers					Buy	12/16/11	J		
428. -Marsh & McLennan					Buy	12/21/11	J		
429. -PIMCO Commodity RealReturn FD					Redeemed	12/07/11	K		
430. -Celegene					Sold	12/08/11	J	A	
431. -Vanguard MSCI Emerging Markets ETF					Sold	12/09/11	L		
432. -Invesco Ltd.					Sold (part)	12/14/11	J		
433. -Citigroup					Sold (part)	12/14/11	J		
434. -Ferro					Sold	12/14/11	J		
435. -General Mtrs					Sold	12/14/11	J		
436. -Morgan Stanley					Sold (part)	12/14/11	J		
437. -New Oriental Ed & Tech					Sold	12/14/11	J		
438. -Peabody Energy					Sold (part)	12/14/11	J		
439. -ROVI Corp					Sold	12/14/11	J		
440. -Skyworks Solutions					Sold	12/14/11	J		
441. -Thermo Fisher Scientific					Sold	12/14/11	J		
442. -Vale SA ADR					Sold (part)	12/14/11	J		

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

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

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

443. -Weyerhaeuser					Sold	12/14/11	J		
444. -Ferro					Sold	12/16/11	J		
445. -ACE Ltd.					Sold	12/21/11	J		
446. -SPDR S&P 500 ETF					Sold (part)	12/21/11	J		
447. US Trust managed IRA Rollover Account (no control)	D	Int./Div.	O	T					See note in part VIII
448. -BofA Money Market Savings									
449. -Col Blended Equity FD CL Z					Sold	01/11/11	K		
450. -Col Dividend Income FD CL Z									
451. -Col Select Large Cap Growth FD CL Z					Buy (add'l)	01/11/11	J		
452. -Col Vlaue & Restr. FD CL Z					Buy (add'l)	01/11/11	J		
453. -Col Select Small Cap FD CL Z									
454. -IShares MSCI Emerging Mkts FD									
455. -Col Short Term Bond FD CL Z					Redeemed	01/11/11	M		
456. -Pimco Commodity Realreturn Strategy FD									
457. -Bank of NY Med. Term SR NT					Buy	01/13/11	L		
458. -Berkshire Hathaway					Buy	01/13/11	K		
459. -Wal-Mart					Buy	01/13/11	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

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

460. Paul Hastings 401(k) (no control)	A	Interest			Closed	03/03/11	M		See note in part VIII
461. US Trust IRA (no control)	B	Int./Div.	M	T					See note in part VIII
462. -BofA Money Market Account					Open	03/03/11	M		
463. -J Hancock Regional Bank FD					Open	03/11/11	K		
464. -US Treasury Strips					Open	03/16/11	K		
465. -BofA Money Market Account					Open	03/21/11	L		
466. -Col Select Large Cap Growth FD					Buy	05/12/11	L		
467. -SPDR S&P ETF					Buy	05/16/11	L		
468. -John Hancock Regional Bank FD					Redeemed	11/10/11	K		
469. -SPDR S&P Dividend					Buy	11/15/11	K		
470. FifthThird Bancorp common	A	Dividend	J	T					
471. ML CMA money account #x	A	Interest			Closed	03/21/11	L		See Note in part VIII
472. J Hancock Financial INDS FD		None			Sold	05/31/11	J		
473. Blackrock Global Growth A		None			Sold	05/31/11	J		
474. Blackrock Capital		None			Sold	05/31/11	J		
475. ML Retirement Reserves Account 1	A	Interest			Closed	03/21/11	K		See Note in part VIII
476. US Treas Strips		None			Closed	03/16/11	K		See Note in part VIII

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) 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)
477. J Hancock Regional Bank FD	A	Dividend			Closed	03/11/11	K		See Note in part VIII
478. NY 529 savings program #1		None	K	T					
479. NY 529 savings program #2		None	K	T					
480. NY 529 savings program #3		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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	

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

1. Part VII, lines 8-446, columns B and C. The U.S. Trust-managed account described on line 8 is held and managed in trust by U.S. Trust as a fiduciary [REDACTED]. It is not a personal brokerage or financial management account. We have no discretion with respect to any of the individual assets in the account, which are listed in lines [REDACTED]. 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 447-459, columns B and C. The U.S. Trust-managed IRA rollover account described in line 447 is held and managed in trust by U.S. Trust as a fiduciary for me with respect to the rollover of my former pension and 401(k) accounts. As with the account described on line 8 of Part VII and above, I have no discretion with respect to any of the individual assets in the account, which are listed in lines 448-459, 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, line 460. This 401(k) account is reported in accordance with the method for reporting trust assets in the filing instructions, as [REDACTED] had no discretion with respect to any of the individual assets in the account but is able only to periodically change risk categories. The account was rolled over into the U.S. Trust-managed IRA account described in line 461 during 2011.
4. Part VII, lines 461-469, columns B and C. The U.S. Trust-managed IRA rollover account described in line 461 is held and managed in trust by U.S. Trust as a fiduciary for [REDACTED] with respect to the rollover of [REDACTED] former 401(k) account described in line 460. As with the accounts described on lines 8 and 447, [REDACTED] has no discretion with respect to any of the individual assets in the account, which are listed in lines 462-469, 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.
5. Part VII, lines 471, 475, 476 and 477. These assets were transferred by [REDACTED] into the U.S. Trust-managed IRA account described in line 461 and are reported there.
5. In Part VII of my 2010 Financial Disclosure Report, I listed the following securities as being only partially sold when, in fact, they were completely sold on the dates set forth and for the gain as reported: line 86, Genco Shipping; line 187, Archer Daniels Midland; line 188, Wal-Mart; line 190, DirecTV; line 212, Baxter Intl. This constitutes a correction and amendment of my 2010 Financial Disclosure Report.

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 WILFULLY 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

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK
300 QUARROPAS STREET
WHITE PLAINS, NEW YORK 10601

CHAMBERS OF
ROBERT D. DRAIN
UNITED STATES BANKRUPTCY
JUDGE

(914) 390-4155

October 1, 2012

Judicial Conference of the United States
Committee on Financial Disclosure
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Supplement to 2011 Financial Disclosure Report

Ladies and Gentlemen:

I am writing in response to Judge Joseph H. McKinley, Jr.'s August 30, 2012 letter regarding my 2011 financial disclosure report dated May 15, 2012 (the "2011 Report").

First, let me apologize for not submitting this letter in the on-line FiDo form requested. I spent over two hours on FiDo trying to amend my 2011 Report and submit it on-line in response to Judge McKinley's letter. I succeeded only in deleting the amendable form of my 2011 Report, which means that I must either re-do the report in full, including having our computer support people help me to import the form in the first place, or sending you this letter. I've chosen the latter approach. If that is insufficient, please let me know.

Judge McKinley's letter inquires about seven transactions in my "US Trust Managed Common Account" on my 2011 Report that are inconsistent with my reporting of my "US Trust Managed Common Account" in my 2010 financial disclosure report. These transactions were incorrectly reported in my 2011 Report and should be corrected as follows:

1. Part VII, page 10, line 97 of my 2011 Report should report the purchase of shares of "Quanta SVCS" as "Buy" not "Buy (add'l)".
2. Part VII, page 28, line 392 of my 2011 Report should report the purchase of shares of "Covidien" as "Buy" not "Buy (add'l)".
3. Part VII, page 26, line 361 of my 2011 Report should report the purchase of shares of "Electronic Arts" as "Buy" not "Buy (add'l)".
4. Part VII, page 17, line 219 of my 2011 Report should report the purchase of "Isoftstone Hldgs ADS" as "Buy" not "Buy (add'l)".

5. Part VII, page 20, line 266 of my 2011 Report should report the purchase of "HSBC Hldgs" as "Buy" not "Buy (add'l)".

6. Part VII, page 21, line 289 of my 2011 Report should report the purchase of "Invesco Ltd." as "Buy" not "Buy (add'l)".

7. Part VII, page 26, line 359 of my 2011 Report should report the purchase of "AT&T" as "Buy" not "Buy (add'l)".

Judge McKinley's letter also notes that I listed "ML CMA money account #2" in my 2010 financial disclosure report but not in my 2011 report. This is because we fully drew down on this account during 2011. Part VIII of my 2011 Report should be amended to reflect this notation.

Finally, Judge McKinley's letter notes that my 2011 Report's disclosure of the three New York Sec. 529 educational savings plans in Part VII, page 33, lines 478, 479 and 480 (the "529 Plans") was deficient (although this was how they were reported in my 2010 financial disclosure report), because it did not disclose the degree of control that I have over such plans and, if such plans are "self-directed," the transactions in those plans. Part VII, page 33, lines 478, 479 and 480 of my 2011 Report should be corrected to add the words "no control" in column A for each of the 529 Plan entries on those lines. Part VIII of my Report also should be amended to include the following note: "Part VII, page 33, lines 478, 479 and 480: neither I nor anyone in my family have any control over the investments in these New York Sec. 529 educational savings plan, with the exception of designating the general portfolio option, which in each case is "Moderate Age-Based Option: Income Portfolio."

Please note that the foregoing also was the case for the three 529 Plans reported in my 2010 financial disclosure report.

Please consider my 2011 Report amended accordingly.

Very truly yours,

Robert D. Drain
United States Bankruptcy Judge

