AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Sack, Robert D.	US Court of Appeals, 2d Cir.	08/16/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US Circuit Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
40 Foley Square New York, NY 10007		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Adjunct Professor	Columbia Law School
2.	Member, Columbia Board of Visitors	Columbia Law School
3.	Adviser	Global Media Freedom Initiative's High-Level Panel of Legal Experts (convened at the request of the UK and Canadian governments)
4.	Adviser	American Law Institute's Restatement Third of Torts, Defamaton and Privacy
5.	Member	Editorial Board, Journal of Free Speech Law

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	1998	Gibson, Dunn & Crutcher LLP Retirement Agreement, Gibson Dunn & Crutcher LLP and Robert D. Sack; Terms: $6,000 per month/life, no increase, decrease or cap
2.	2010	Practising Law Institute and Robert D. Sack, publication of 4th edition of treatise on defamation law; royalty 15% of net receipts
3.	2017	Practising Law Institute and Robert D. Sack, publication of 5th edition of treatise on defamation law; royalty 15% of net receipts

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2021	Practising Law Institute Book Royalties	$28,703.69
2. 2021	Gibson, Dunn & Crutcher LLP Retirement Plan	$72,000.00
3. 2021	Adjunct Professor, Columbia Law School	$12,500.00
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
1. 2021	West Publishing Corporation, Thomson Reuters Royalties
2. 2021	Pension Benefit Guaranty Corporation (Dewey Ballantine)
3. March 2021	Colonial Dames of Delaware
4. July 2021	Royal School of Needlework, London
5. Oct 2021	Royal School of Needlework, London

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Citibank Mastercard	Credit Cards	J
2.	American Express	Credit Card	J
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Sack, Robert D.	08/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
1. JPMORGAN CHASE ACCOUNTS	A	Interest	L	T					
2. OPP ADVANTAGE BANK DEPOSIT	A	Interest	K	T					
3. OPP ALLSTATE CORP	A	Dividend	J	T					
4. OPP APPLE INC	A	Dividend	M	T					
5. OPP APOLLO GLOBAL MGMT INC COM CL A	A	Dividend	J	T	Buy	10/25/21	J		
6. OPP BANK AMER CORP	A	Dividend	K	T					
7. OPP BLACKSTONE GROUP INC	A	Dividend	K	T	Buy	03/15/21	J		
8. OPP BOEING CO	B	Dividend	L	T					
9. OPP CARLYLE GROUP INC	A	Dividend	K	T	Buy	03/15/21	J		
10. OPP CHEVRON	B	Dividend	K	T					
11. OPP CITIGROUP INC COM NEW	A	Dividend	J	T	Buy	10/25/21	J		
12. OPP FREEPORT- MCMORAN INC CL B	A	Dividend	K	T	Buy	10/25/21	K		
13. OPP 13D ACTIVIST FUND CLASS I	B	Dividend	K	T					
14. OPP VANGUARD TREASURY MONEY MARKET	A	Int./Div.	L	T	Sold (part)	03/15/21	L	A	
15. OPP DWS STRATEGIC HIGH YIELD TAX-FREE FUND CL INST	A	Dividend			Sold	03/15/21	K	A	
16. OPP DELAWARE IVY MUNICIPAL HI INC FUND CLASS I	A	Dividend	J	T					
17. OPP NUVEEN HIGH YIELD MUNI BOND CL I	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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)	
18.	OPP ETF MANAGERS TR PRIME CYBR SCRTY	A	Dividend	K	T					
19.	OPP GLOBAL X FINTEC THEMATIC ETF	A	Dividend	J	T	Buy	03/15/21	J		
20.	OPP ISHARES TR US FIN SVC ETF	A	Dividend	K	T					
21.	OPP ISHARES TR INTL SEL DIV ETF	A	Dividend	J	T					
22.	OPP ISHARES TR US AER DEF ETF	A	Dividend	K	T					
23.	OPP SPDR S&P AEROSPACE & DEFENSE	A	Dividend	K	T					
24.	OPP SPDR S&P REGIONAL BANKING	A	Dividend	K	T					
25.	OPP FINANCIAL SELECT SECTOR SPDR	A	Dividend	K	T					
26.	OPP INDUSTRIAL SELECT SECTOR SPDR	A	Dividend	J	T					
27.	OPP TECHNOLOGY SELECT SECTOR SPDR	A	Dividend	K	T					
28.	OPP VANECK ETF TRUST VIDEO GAMING	B	Dividend	K	T	Buy (add'l)	03/15/21	K		
29.	OPP COHEN & STEERS QUALITY INCOME CLOSED END	B	Dividend	K	T					
30.	OPP KAYNE ANDERSON NEXTGEN ENRGY CLOSED END	B	Dividend	K	T	Buy	03/15/21	K		
31.	OPP NEUBERGER BERMAN MLP AND ENRGY CLOSED END	A	Dividend	J	T					
32.	OPP TEKLA HEALTHCARE INVS SH BEN INT CLOSED END	B	Dividend	K	T					
33.	OPP TEKLA LIFE SCIENCES INVS SH BEN INT CLOSED END	A	Dividend	J	T					
34.	OPP EATON VANCE MUN BD FD TAX FREE COM	B	Dividend	K	T					

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Name of Person Reporting	Date of Report
Sack, Robert D.	08/16/2022

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35. OPP NUVEEN NEW YORK AMT QLT MUNICP TAX FREE COM	B	Dividend	L	T					
36. OPP NUVEEN INTER DURATION MUN TERM TAX FREE COM	C	Dividend	K	T	Sold (part)	10/25/21	K	D	
37. Ameriprise RiverSource Retirement Advisor 4 Advantage VA-Annuity	F	Interest	O	T					
38. NB186 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	L	T					
39. NB186 AMAZON.COM INC	A	Dividend	K	T					
40. NB186 DANAHER COPRPORATION	A	Dividend	K	T					
41. NB186 ECOLAB INC	A	Dividend			Sold	06/21/21	K	B	
42. NB186 TARGET CORP	A	Dividend	K	T					
43. NB186 TJX COS INC NEW COM	A	Dividend	L	T	Buy (add'l)	10/05/21	J		
44. NB186 WELLS FARGO CO NEW COM	A	Dividend	K	T	Buy	09/07/21	K		
45.					Buy (add'l)	10/05/21	J		
46. NB186 US TREAS BILLS ZERO CPN 0.0% 2/18/21	A	Interest			Redeemed	01/18/21	L		
47. NB186 US TREAS NTS NOTE 2.50000% 2/28/21	A	Interest			Redeemed	03/01/21	J		
48. NB186 US TREAS BILLS ZERO CPN 0.0% 7/8/21	A	Interest			Buy	01/12/21	K		
49.					Redeemed	07/08/21	K		
50. NB186 US TREAS BILLS ZERO CPN 0.0% 8/12/21	A	Interest			Redeemed	08/12/21	L		
51. NB186 US TREAS BILLS ZERO CPN 0.0% 8/19/21	A	Interest			Buy	02/18/21	L		

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52.						Redeemed	08/19/21	L		
53.	NB186 US TREAS BILS ZERO CPN 0.0% 1/6/22	A	Interest	L	T	Buy	07/08/21	K		
54.	NB186 US TREAS BILLS ZERO CPN 0.0% 2/10/22	A	Interest	L	T	Buy	08/12/21	L		
55.	NB186 US TREAS BILLS ZERO CPN 0.0% 2/17/22	A	Interest	L	T	Buy	08/19/21	L		
56.	NB186 VANGUARD SHORT TERM CORP BD INDEX ADMRL	B	Interest	M	T					
57.	NBF186 SPDR S&P500 ETF TRUST	C	Dividend	O	T	Buy	08/06/21	K		
58.						Buy (add'l)	10/05/21	K		
59.	NB435 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	M	T					
60.	NB435 ALPHABET INC CAP STK CL C	A	Dividend	K	T	Sold (part)	04/12/21	K	E	
61.	NB435 AMAZON.COM INC	A	Dividend	L	T					
62.	NB435 CDW CORP COM	A	Dividend	L	T					
63.	NB435 DANAHER CORPORATION COM	A	Dividend	L	T					
64.	NB435 ECOLAB INC	A	Dividend			Sold	06/21/21	J	A	
65.	NB435 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend	K	T					
66.	NB435 HOME DEPOT INC COM	B	Dividend	L	T	Sold (part)	05/07/21	J	C	
67.	NB435 MICROSOFT CORP	A	Dividend	M	T					
68.	NB435 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend	L	T					

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69. NB435 NEXTERA ENERGY INC COM USD0.01	B	Dividend	L	T					
70. NB435 RAYTHEON TECHNOLOGIES CORP COM	A	Dividend	J	T					
71. NB435 TJX COS	A	Dividend	K	T					
72. NB435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/21	A	Interest			Redeemed	03/15/21	K		
73. NB435 WESTCHESTER CNTY N Y GO REF BDS SER. 3.0% 10/15/22	A	Interest			Redeemed	10/15/21	J		
74. NB435 BATTERY PK CITY AUTH N Y REV SENIOR REV 5.0% 11/1/21	A	Interest			Redeemed	11/01/21	J		
75. NB435 NEW YORK NY CITY TRANSITIONAL FIN 5.0% 11/1/21	A	Interest			Redeemed	11/01/21	K		
76. NB435 METROPOLITAN TRANSN AUTH N Y REV REV 5.0% 11/15/21	A	Interest			Redeemed	11/15/21	K		
77. NB435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/22	A	Interest	K	T					
78. NB435 METROPOLITAN TRANSN AUTH N Y REV REV .777% 11/15/22	A	Interest	K	T	Buy	12/09/21	K		
79. NB435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/23	A	Interest	K	T					
80. NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 5/1/23	A	Interest	K	T					
81. NB435 MASSACHUSETTS ST DEV FIN AGY REV TAXABLE .674% 7/1/23	A	Interest	K	T	Buy	09/01/21	K		
82. NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 7/15/23	A	Interest	K	T					
83. NB435 PHILADELPHIA PA TAXABLE GO REF BDS .482% 7/15/23	A	Interest	K	T	Buy	08/11/21	K		
84. NB435 NEW ORLEANS LA TAXABLE LTD TAX REF .606% 9/1/23	A	Interest	K	T	Buy	10/26/21	K		

1 Income Gain Codes: (See Columns B1 and D4)	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
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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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85. NB435 CLEVELAND OHIO INCOME TAX REV .49% 10/1/23 TAXABLE SUB LIEN	A	Interest	K	T	Buy	09/22/21	K		
86. NB435 BROCKTON MASS TAXABLE GO PENSION .635% 11/1/23	A	Interest	K	T	Buy	11/19/21	K		
87. NB435 RIVERSIDE CNTY CALIF INFRASRUCTURE .548% 11/1/23	A	Interest	K	T	Buy	10/19/21	K		
88. NB435 ILLINOIS GO BDS SER. MARCH 2021 A 5% 3/1/24	A	Interest	K	T	Buy	03/24/21	K		
89. NB435 NEW YORK N Y CITY INDL DEV AGY SPL FAC 5.0% 5/1/24	A	Interest	K	T					
90. NB435 NEW YORK N Y GO BDS SER. 2019 E 5.0% 8/1/24	A	Interest	K	T					
91. NB435 MICHIGAN ST STRATEGIC FD LTD .797% 9/1/24	A	Interest	K	T	Buy	07/08/21	K		
92. NB435 METROPOLITAN TRANSN AUTH N Y DEDICATED 5.0% 11/15/24	A	Interest	K	T					
93. NB435 LOUISIANA LOC GOVT ENVIRONMENTL FACS 4% 11/1/26	A	Interest	K	T	Buy	05/13/21	K		
94. NB435 CONNECTICUT ST GO BDS SER. 2019 A 5.0% 4/15/27	A	Interest	K	T					
95. NB435 NYS DORM AUTH REVS NON ST 4% 10/1/34	A	Interest	K	T	Buy	06/16/21	K		
96. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 4.0% 11/15/37	A	Interest	K	T					
97. NB435 NEW YORK N Y CITY TRANSITIONAL FIN 5.0% 11/1/39	A	Interest	K	T					
98. NB435 UNITED STATES TREAS SER S-2023 2.125% 11/30/2023	A	Interest	K	T	Buy	12/08/21	K		
99. NB435 SPDR S&P500 ETF TRUST	C	Dividend	N	T					
100. NB435 EVENTIDE GILEAD FUND CLASS I	C	Distribution	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Sack, Robert D.	08/16/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
101. NB435 FIDELITY ADVISOR NEW INSIGHTS CL I	E	Distribution	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Sack, Robert D.	08/16/2022

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

A pending claim against Worldcom is currently in litigation (02 Civ. 3288 (DLC)). The worth of that claim cannot be determined at this time.

Pension Benefit Guaranty Corporation has been added to Part III-B. Spouse's Non-Investment Income. The entry was inadvertently omitted from the 2019 and 2020 reports.

Name of Person Reporting	Date of Report
Sack, Robert D.	08/16/2022

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. Sack

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
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