AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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.	02/08/2023
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	01/01/2022 **to** 12/31/2022
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. 2022	Practising Law Institute Book Royalties	$13,275.11
2. 2022	Gibson, Dunn & Crutcher LLP Retirement Plan	$72,000.00
3. 2022	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. 2022	West Publishing Corporation, Thomson Reuters Royalties
2. 2022	Pension Benefit Guaranty Corporation (Dewey Ballantine)
3. 2022	Marymount Manhattan College
4. 2022	Needlework Guild of Minnesota, $300 honoraria for 50th anniversary lecture

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.	02/08/2023

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)	
1. JPMORGAN CHASE ACCOUNTS	A	Interest	K	T					
2. OPP ADVANTAGE BANK DEPOSIT	A	Interest	J	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					
6. OPP BANK AMER CORP	A	Dividend	K	T					
7. OPP BLACKSTONE GROUP INC	A	Dividend	J	T					
8. OPP BOEING CO	B	Dividend	L	T					
9. OPP CARLYLE GROUP INC	A	Dividend	J	T					
10. OPP CHEVRON	B	Dividend	K	T					
11. OPP CITIGROUP INC COM NEW	A	Dividend	J	T					
12. OPP FREEPORT- MCMORAN INC CL B	A	Dividend	K	T					
13. OPP 13D ACTIVIST FUND CLASS I	B	Dividend	J	T					
14. OPP VANGUARD TREASURY MONEY MARKET	A	Int./Div.	M	T	Buy (add'l)	10/19/22	K		
15. OPP DELAWARE IVY MUNICIPAL HI INC FUND CLASS I	A	Dividend	J	T					
16. OPP NUVEEN HIGH YIELD MUNI BOND CL I	B	Dividend	K	T					
17. OPP ETF MANAGERS TR PRIME CYBR SCRTY	A	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

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Sack, Robert D.	02/08/2023

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

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18.	OPP GLOBAL X FINTEC THEMATIC ETF	A	Dividend	J	T					
19.	OPP ISHARES TR US FIN SVC ETF	A	Dividend	K	T					
20.	OPP ISHARES TR INTL SEL DIV ETF	A	Dividend	J	T					
21.	OPP ISHARES TR US AER DEF ETF	A	Dividend	K	T					
22.	OPP SPDR S&P AEROSPACE & DEFENSE	A	Dividend	K	T					
23.	OPP SPDR S&P REGIONAL BANKING	A	Dividend	K	T					
24.	OPP FINANCIAL SELECT SECTOR SPDR	A	Dividend	K	T					
25.	OPP INDUSTRIAL SELECT SECTOR SPDR	A	Dividend	J	T					
26.	OPP TECHNOLOGY SELECT SECTOR SPDR	A	Dividend	J	T					
27.	OPP VANECK ETF TRUST VIDEO GAMING	B	Dividend	K	T					
28.	OPP COHEN & STEERS QUALITY INCOME CLOSED END	B	Dividend	K	T					
29.	OPP KAYNE ANDERSON NEXTGEN ENRGY CLOSED END	B	Dividend	K	T					
30.	OPP NEUBERGER BERMAN MLP AND ENRGY CLOSED END	A	Dividend	J	T					
31.	OPP TEKLA HEALTHCARE INVS SH BEN INT CLOSED END	B	Dividend	K	T					
32.	OPP TEKLA LIFE SCIENCES INVS SH BEN INT CLOSED END	A	Dividend	J	T					
33.	OPP EATON VANCE MUN BD FD TAX FREE COM	B	Dividend			Sold	06/07/22	K		
34.	OPP NUVEEN NEW YORK AMT QLT MUNICP TAX FREE COM	B	Dividend	K	T					

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	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
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	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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35. OPP NUVEEN AMT FREE QLTY MUN INCME TAX FREE COM	A	Dividend	K	T	Buy	06/07/22	K		
36. OPP NUVEEN INTER DURATION MUN TERM TAX FREE COM	B	Dividend	K	T					
37. Ameriprise RiverSource Retirement Advisor 4 Advantage VA-Annuity	F	Interest	O	T					
38. NB186 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	J	T					
39. NB186 ALPHABET INC CAP STK CL C	A	Dividend	K	T	Buy	01/12/22	K		
40. NB186 AMAZON.COM INC	A	Dividend	K	T					
41. NB186 DANAHER COPRPORATION	A	Dividend	K	T					
42. NB186 EQT CORP COM	A	Dividend	K	T	Buy	12/06/22	K		
43. NB186 HOME DEPOT INC	A	Dividend	K	T	Buy	02/28/22	K		
44. NB186 PROGRESSIVE CORP	A	Dividend	K	T	Buy	03/09/22	K		
45. NB186 TARGET CORP	A	Dividend			Sold	12/01/22	K		
46. NB186 TJX COS INC NEW COM	A	Dividend	K	T	Sold (part)	02/28/22	K		
47. NB186 WELLS FARGO CO NEW COM	A	Dividend	K	T	Sold (part)	01/12/22	J		
48. NB186 US TREAS BILLS ZERO CPN 0.0% 1/6/22	A	Interest			Redeemed	01/06/22	L		
49. NB186 US TREAS BILLS ZERO CPN 0% 5/12/22	A	Interest			Buy	02/10/22	L		
50.					Redeemed	05/12/22	L		
51. NB186 US TREAS BILLS ZERO CPN 0% 5/19/22	A	Interest			Buy	02/17/22	L		

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		
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52.						Redeemed	05/19/22	L		
53.	NB186 US TREAS BILLS ZERO CPN 0.0% 2/10/22	A	Interest			Redeemed	02/10/22	L		
54.	NB186 US TREAS BILLS ZERO CPN 0.0% 2/17/22	A	Interest			Redeemed	02/17/22	L		
55.	NB186 US TREAS NTS NOT 1.875% 8/31/22	A	Interest			Buy	05/12/22	L		
56.						Redeemed	08/31/22	L		
57.	NB186 US TREAS BILLS ZERO CPN 0.0% 11/17/22	A	Interest			Buy	05/19/22	L		
58.						Redeemed	11/17/22	L		
59.	NB186 US TREAS BILLS ZERO CPN 0.0% 5/18/23	A	Interest	L	T	Buy	11/17/22	L		
60.	NB186 US TREAS BILLS ZERO CPN 0.0% 8/10/23	A	Interest	L	T	Buy	08/31/22	L		
61.	NB186 US TREAS SER S-2023 2.125% 11/30/23	A	Interest	K	T	Buy	01/07/22	L		
62.	NB186 VANGUARD SHORT TERM CORP BD INDEX ADMRL	B	Dividend	M	T					
63.	NBF186 SPDR S&P500 ETF TRUST	C	Dividend	O	T					
64.	NB435 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	K	T					
65.	NB435 ALPHABET INC CAP STK CL C	A	Dividend	K	T					
66.	NB435 AMAZON.COM INC	A	Dividend	K	T	Sold (part)	02/09/22	K		
67.	NB435 CDW CORP COM	A	Dividend	L	T					
68.	NB435 DANAHER CORPORATION COM	A	Dividend	L	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	
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69.	NB435 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend			Sold	04/27/22	K		
70.	NB435 HOME DEPOT INC COM	B	Dividend	L	T					
71.	NB435 MICROSOFT CORP	A	Dividend	L	T					
72.	NB435 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend	L	T					
73.	NB435 NEXTERA ENERGY INC COM USD0.01	B	Dividend	L	T					
74.	NB435 PROGRESSIVE CORP	A	Dividend	K	T	Buy	03/09/22	K		
75.	NB435 RAYTHEON TECHNOLOGIES CORP COM	A	Dividend	K	T					
76.	NB435 TJX COS	A	Dividend	K	T	Sold (part)	05/20/22	J		
77.	NB435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/22	A	Interest			Sold	05/16/22	K		
78.	NB435 METROPOLITAN TRANSN AUTH N Y REV REV .777% 11/15/22	A	Interest			Redeemed	02/10/22	K		
79.	NB435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/23	A	Interest			Sold	09/13/22	K		
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					
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					
84.	NB435 NEW ORLEANS LA TAXABLE LTD TAX REF .606% 9/1/23	A	Interest	K	T					

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85. NB435 CLEVELAND OHIO INCOME TAX REV .49% 10/1/23 TAXABLE SUB LIEN	A	Interest	K	T					
86. NB435 BROCKTON MASS TAXABLE GO PENSION .635% 11/1/23	A	Interest	K	T					
87. NB435 RIVERSIDE CNTY CALIF INFRASRUCTURE .548% 11/1/23	A	Interest	K	T					
88. NB435 ILLINOIS GO BDS SER. MARCH 2021 A 5% 3/1/24	A	Interest	K	T					
89. NB435 NEW YORK N Y CITY INDL DEV AGY SPL FAC 5.0% 5/1/24	A	Interest	K	T					
90. NB435 GRANITE SCH DIST UTAH SALT LAKE CNTY 5% 6/1/24	A	Interest	K	T	Buy	02/03/22	K		
91. NB435 NEW YORK N Y GO BDS SER. 2019 E 5.0% 8/1/24	A	Interest	K	T					
92. NB435 MICHIGAN ST STRATEGIC FD LTD .797% 9/1/24	A	Interest	K	T					
93. NB435 METROPOLITAN TRANSN AUTH N Y DEDICATED 5.0% 11/15/24	A	Interest	K	T					
94. NB435 LOUISIANA LOC GOVT ENVIRONMENTL FACS 4% 11/1/26	A	Interest	K	T					
95. NB435 CONNECTICUT ST GO BDS SER. 2019 A 5.0% 4/15/27	A	Interest	K	T					
96. NB435 NYS DORM AUTH REVS NON ST 4% 10/1/34	A	Interest	K	T					
97. NB435 NYS DORM AUTH REV NON ST 5% 10/1/34	A	Interest	K	T	Buy	06/15/22	K		
98. NB435 NEW YORK ST PWR AUTH GREEN TRANSMISSION 5% 11/15/34	A	Interest	K	T	Buy	04/21/22	K		
99. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 4.0% 11/15/37	A	Interest	K	T					
100. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 5% 11/15/37	A	Interest	J	T	Buy	09/15/22	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
	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.	02/08/2023

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 NEW YORK N Y CITY TRANSITIONAL FIN 5.0% 11/1/39	A	Interest	K	T					
102. NB435 UNITED STATES TREAS SER S-2023 2.125% 11/30/2023	A	Interest	K	T					
103. NB435 SPDR S&P500 ETF TRUST	C	Dividend	N	T	Buy	05/12/22	K		
104.					Buy (add'l)	09/15/22	J		
105. NB435 EVENTIDE GILEAD FUND CLASS I	C	Distribution	K	T					
106. NB435 FIDELITY ADVISOR NEW INSIGHTS CL I	E	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.	02/08/2023

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.

Name of Person Reporting	Date of Report
Sack, Robert D.	02/08/2023

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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