AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 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. | 02/05/2024 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023 **to** 12/31/2023 |
| **7. Chambers or Office Address** | | |
| 40 Foley Square<br>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. 2023 | Practising Law Institute Book Royalties | $20,849.30 |
| 2. 2023 | Gibson, Dunn & Crutcher LLP Retirement Plan | $72,000.00 |
| 3. 2023 | Adjunct Professor, Columbia Law School | $6,250.00 |
| 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. 2023 | West Publishing Corporation, Thomson Reuters Royalties |
| 2. 2023 | Pension Benefit Guaranty Corporation (Dewey Ballantine) |
| 3. 2023 | Marymount Manhattan College |
| 4. | |

## 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. | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Sack, Robert D.** | 02/05/2024 |

## 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 |
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| **Sack, Robert D.** | 02/05/2024 |

## 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 | 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 | K | T | Buy (add'l) | 03/13/23 | J | | |
| 6. OPP BANK AMER CORP | A | Dividend | K | T | | | | | |
| 7. OPP BLACKSTONE GROUP INC | A | Dividend | K | T | Buy (add'l) | 03/13/23 | J | | |
| 8. OPP BOEING CO | B | Dividend | L | T | | | | | |
| 9. OPP CARLYLE GROUP INC | A | Dividend | K | 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 | D | Int./Div. | M | T | | | | | |
| 15. OPP DELAWARE NATL HI YIELD MUNI | 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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|---|---|---|---|---|---|---|---|---|---|
| 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 | | | Sold | 03/09/23 | K | C | |
| 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 | K | T | | | | | |
| 27. OPP VANECK ETF TRUST VIDEO GAMING | A | 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 | J | T | Sold (part) | 11/15/23 | J | B | |
| 30. OPP NEUBERGER BERMAN MLP AND ENRGY CLOSED END | B | Dividend | J | T | Buy (add'l) | 03/13/23 | J | | |
| 31. OPP ABRDN HEALTHCARE INVS SH BEN INT CLOSED END | B | Dividend | K | T | | | | | |
| 32. OPP ABRDN LIFE SCIENCES INVS SH BEN INT CLOSED END | A | Dividend | J | T | | | | | |
| 33. OPP NUVEEN INTER DURATION MUN TERM TAX FREE COM | A | Dividend | | | Sold | 04/04/23 | K | | |
| 34. OPP NUVEEN NEW YORK AMT QLT MUNICP TAX FREE COM | B | Dividend | K | T | | | | | |

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|---|---|---|---|---|---|---|---|---|---|
| 35. OPP NUVEEN AMT FREE QLTY MUN INCME TAX FREE COM | A | Dividend | K | T | | | | | |
| 36. Ameriprise RiverSource Retirement Advisor 4 Advantage VA-Annuity | F | Interest | O | T | | | | | |
| 37. NB186 DREYFUS GOVERNMENT CASH MGMT ADMIN | A | Dividend | L | T | | | | | |
| 38. NB186 ALPHABET INC CAP STK CL C | A | Dividend | K | T | | | | | |
| 39. NB186 AMAZON.COM INC | A | Dividend | K | T | | | | | |
| 40. NB186 DANAHER COPRPORATION | A | Dividend | K | T | | | | | |
| 41. NB186 EQT CORP COM | A | Dividend | K | T | | | | | |
| 42. NB186 HOME DEPOT INC | A | Dividend | K | T | | | | | |
| 43. NB186 HUMANA INC | A | Distribution | K | T | Buy | 12/13/23 | K | | |
| 44. NB186 PROGRESSIVE CORP | A | Dividend | K | T | | | | | |
| 45. NB186 TJX COS INC NEW COM | A | Dividend | K | T | | | | | |
| 46. NB186 WELLS FARGO CO NEW COM | A | Dividend | | | Sold (part) | 01/19/23 | J | | |
| 47. | | | | | Sold | 03/13/23 | K | | |
| 48. NB186 VERALTO CORP COM | A | Distribution | | | Spinoff (from line 40) | 10/02/23 | J | | |
| 49. | | | | | Sold | 11/02/23 | J | | |
| 50. NB186 ZOETIS INC | A | Dividend | K | T | Buy | 04/13/23 | K | | |
| 51. NB186 US TREAS BILLS ZERO CPN 0.0% 5/18/23 | A | Interest | | | Redeemed | 05/18/23 | L | | |

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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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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|---|---|---|---|---|---|---|---|---|---|
| 52. NB186 US TREAS BILLS ZERO CPN 0.0% 8/10/23 | C | Interest | | | Redeemed | 08/10/23 | L | | |
| 53. NB186 US TREAS SER S-2023 2.125% 11/30/23 | A | Interest | | | Redeemed | 11/30/23 | K | | |
| 54. NB186 US TREAS BILLS ZERO CPN 0.0% 5/16/24 | A | Interest | L | T | Buy | 05/19/23 | L | | |
| 55. NB186 US TREAS BILLS ZERO CPN 0.0% 8/8/24 | A | Interest | L | T | Buy | 08/11/23 | L | | |
| 56. NB186 VANGUARD SHORT TERM CORP BD INDEX ADMRL | C | Dividend | M | T | | | | | |
| 57. NBF186 SPDR S&P500 ETF TRUST | D | Dividend | O | T | | | | | |
| 58. NB435 DREYFUS GOVERNMENT CASH MGMT ADMIN | A | Dividend | J | T | | | | | |
| 59. NB435 ALPHABET INC CAP STK CL C | A | Dividend | K | T | | | | | |
| 60. NB435 AMAZON.COM INC | A | Dividend | K | T | | | | | |
| 61. NB435 CDW CORP COM | A | Dividend | L | T | | | | | |
| 62. NB435 DANAHER CORPORATION COM | A | Dividend | K | T | | | | | |
| 63. NB435 HOME DEPOT INC COM | B | Dividend | L | T | Sold (part) | 05/17/23 | J | B | |
| 64. NB435 HUMANA INC | A | Dividend | J | T | Buy | 12/13/23 | J | | |
| 65. NB435 MICROSOFT CORP | A | Dividend | M | T | | | | | |
| 66. NB435 MOTOROLA SOLUTIONS INC COM NEW | A | Dividend | L | T | Sold (part) | 01/17/23 | K | D | |
| 67. | | | | | Sold (part) | 04/13/23 | J | C | |
| 68. NB435 NEXTERA ENERGY INC COM USD0.01 | B | Dividend | K | T | | | | | |

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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
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|---|---|---|---|---|---|---|---|---|---|---|
| 69. | NB435 PROGRESSIVE CORP | A | Dividend | K | T | | | | | |
| 70. | NB435 RAYTHEON TECHNOLOGIES CORP COM (RTX) | A | Dividend | | | Sold | 11/21/23 | J | B | |
| 71. | NB435 TJX COS | A | Dividend | K | T | | | | | |
| 72. | NB435 VERALTO CORP COM | A | Dividend | | | Spinoff (from line 62) | 10/02/23 | J | | |
| 73. | | | | | | Sold | 11/02/23 | J | B | |
| 74. | NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 5/1/23 | A | Interest | | | Sold | 01/17/23 | K | | |
| 75. | NB435 MASSACHUSETTS ST DEV FIN AGY REV TAXABLE .674% 7/1/23 | A | Interest | | | Redeemed | 07/03/23 | K | | |
| 76. | NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 7/15/23 | A | Interest | | | Sold | 02/13/23 | K | | |
| 77. | NB435 PHILADELPHIA PA TAXABLE GO REF BDS .482% 7/15/23 | A | Interest | | | Redeemed | 07/15/23 | K | | |
| 78. | NB435 NEW ORLEANS LA TAXABLE LTD TAX REF .606% 9/1/23 | A | Interest | | | Redeemed | 09/01/23 | K | | |
| 79. | NB435 CLEVELAND OHIO INCOME TAX REV .49% 10/1/23 TAXABLE SUB LIEN | A | Interest | | | Redeemed | 10/02/23 | K | | |
| 80. | NB435 BROCKTON MASS TAXABLE GO PENSION .635% 11/1/23 | A | Interest | | | Redeemed | 11/01/23 | K | | |
| 81. | NB435 RIVERSIDE CNTY CALIF INFRASRUCTURE .548% 11/1/23 | A | Interest | | | Redeemed | 11/01/23 | K | | |
| 82. | NB435 ILLINOIS GO BDS SER. MARCH 2021 A 5% 3/1/24 | A | Interest | K | T | | | | | |
| 83. | NB435 NEW YORK N Y CITY INDL DEV AGY SPL FAC 5.0% 5/1/24 | A | Interest | K | T | | | | | |
| 84. | NB435 GRANITE SCH DIST UTAH SALT LAKE CNTY 5% 6/1/24 | A | Interest | | | Sold | 05/16/23 | K | | |

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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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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## 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 85. NB435 NEW YORK N Y GO BDS SER. 2019 E 5.0% 8/1/24 | A | Interest | K | T | | | | | |
| 86. NB435 MICHIGAN ST STRATEGIC FD LTD .797% 9/1/24 | A | Interest | K | T | | | | | |
| 87. NB435 METROPOLITAN TRANSN AUTH N Y DEDICATED 5.0% 11/15/24 | A | Interest | | | Redeemed | 01/12/23 | J | | |
| 88. NB435 LOUISIANA LOC GOVT ENVIRONMENTL FACS 4% 11/1/26 | A | Interest | K | T | | | | | |
| 89. NB435 NYS PWR AUTH GREEN TRANSMISSION 5% 11/15/26 | A | Interest | K | T | Buy | 10/25/23 | K | | |
| 90. | | | | | Buy (add'l) | 11/16/23 | K | | |
| 91. NB435 CONNECTICUT ST GO BDS SER. 2019 A 5.0% 4/15/27 | A | Interest | K | T | | | | | |
| 92. NB435 ERIE CNTY NY INDL DEV AGY SCH FAC REV 5% 5/1/27 | A | Interest | K | T | Buy | 11/29/23 | K | | |
| 93. NB435 NYS DORM AUTH REVS NON ST 5% 10/1/29 | A | Interest | K | T | Buy | 12/01/23 | K | | |
| 94. NB435 INDIANA ST FIN AUTH WTR UTIL REV FIRST 5% 10/1/34 | A | Interest | K | T | Buy | 08/01/23 | K | | |
| 95. NB435 INDIANA ST FIN AUTH WTR UTIL REV FIRST 5% 10/1/34 | A | Interest | K | T | Buy | 07/19/23 | K | | |
| 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 | | | | | |
| 98. NB435 NEW YORK ST PWR AUTH GREEN TRANSMISSION 5% 11/15/34 | A | Interest | K | T | | | | | |
| 99. NB435 NYS URBAN DEV CORP ST SALES 5% 3/15/2036 | A | Interest | K | T | Buy | 01/17/23 | K | | |
| 100. NB435 NYS DORM AUTH REVS NON ST 5% 8/1/36 | A | Interest | K | T | Buy | 08/29/23 | K | | |
| 101. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 5.0% 11/15/37 | A | Interest | 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

| Name of Person Reporting | Date of Report |
|---|---|
| **Sack, Robert D.** | 02/05/2024 |

## 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) | |
|---|---|---|---|---|---|---|---|---|---|
| 102. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 4% 11/15/37 | A | Interest | K | T | | | | | |
| 103. NB435 NY ST DORM AUTH REVS NON ST 5% 10/1/38 | A | Interest | K | T | Buy | 05/12/23 | K | | |
| 104. | | | | | Buy (add'l) | 06/15/23 | K | | |
| 105. NB435 NY NYC TRANSITIONAL FIN 5% 11/01/2038 | A | Interest | K | T | Buy | 02/28/23 | K | | |
| 106. NB435 NEW YORK N Y CITY TRANSITIONAL FIN 5.0% 11/1/39 | A | Interest | K | T | | | | | |
| 107. NB435 UNITED STATES TREAS SER S-2023 2.125% 11/30/2023 | A | Interest | | | Sold (part) | 06/28/23 | J | | |
| 108. | | | | | Sold | 09/27/23 | K | | |
| 109. NB435 SPDR S&P500 ETF TRUST | D | Dividend | N | T | | | | | |
| 110. NB435 EVENTIDE GILEAD FUND CLASS I | C | Distribution | K | T | | | | | |
| 111. NB435 FIDELITY ADVISOR NEW INSIGHTS CL I | D | Dividend | 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 | | |

## 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.** | 02/05/2024 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544