

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Sack, Robert D.	2. Court or Organization US Court of Appeals, 2d Cir.	3. Date of Report 04/30/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Lecturer in Law and Adjunct Professor	Columbia Law School
2. Member, Columbia Board of Visitors	Columbia Law School
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 9/3/98	Practising Law Institute and Robert D. Sack, publication of 3rd edition of treatise on defamation law; royalty 15% of net receipts
2. 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
3. 2010	Practising Law Institute and Robert D. Sack, publication of 4th edition of treatise on defamation law; royalty 15% of net receipts

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	Practising Law Institute Book Royalties	\$22,988.75
2. 2014	Gibson, Dunn & Crutcher LLP Retirement Plan	\$72,000.00
3. 2014	Lecturer in Law, Columbia Law School	\$15,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Thomson Reuters Royalties
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Roger Williams University School of Law	2/20-21/2014	Bristol, RI	Guest Lecturer	Travel, Hotel and Meals
2. University of Alabama School of Law	2/27-3/1/2014	Tuscaloosa, AL	Guest Lecturer	Travel, Hotel and Meals
3. University of Rochester	4/7-8/2014	Rochester, NY	Guest Lecturer	Travel, Hotel and Meals
4. University of Minnesota	4/22-23/2014	Minneapolis, MN	Panelist and Guest Speaker	Travel, Hotel and Meals
5.				

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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.			
2.			
3.			
4.			
5.			

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Citibank Mastercard	Credit Card	J
2.	American Express	Credit Card	J
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. JPMORGAN CHASE ACCOUNTS	A	Interest	L	T					
2. OPP ADVANTAGE MUNICIPAL LIQ FUND (X)	A	Dividend	K	T					
3. OPP BOEING CO	A	Dividend	K	T					
4. OPP COHEN & STEERS MLP INC & ENRGY COM SHS	B	Distribution	K	T	Buy	08/18/14	K		
5. OPP INVESCO GLOBAL CORE EQ FD CL A (X)	A	Dividend	J	T					
6. OPP INVESCO VAN KAMPEN SMALL CAP VALUE FD CL A (X)	E	Dividend	K	T					
7. OPP IVY SCIENCE & TECH FD Y	A	Dividend	K	T	Buy	03/13/14	K		
8. OPP MSIF GROWTH FD CL A (X)	B	Dividend	K	T					
9. OPP MSIF SMALL CO GRTH PORT CL A (X)	B	Dividend	K	T					
10. OPP DEUTSCHE STRATEGIC HIGH YIELD TAX-FREE FUND-INST (X)	A	Int./Div.	K	T	Buy	03/13/14	J		
11.					Buy (add'l)	05/01/14	J		
12. OPP FRANKLIN NY TAX FREE INCOME FD INC CL A (X)	B	Dividend	K	T					
13. OPP IVY MUNICIPAL HIGH INCOME FUND CLASS I	A	Interest	K	T	Buy	03/13/14	J		
14.					Buy (add'l)	05/01/14	J		
15. OPP NUVEEN HIGH YIELD MUNICIPAL BD FD R	B	Interest	K	T	Buy	03/13/14	K		
16.					Buy (add'l)	05/01/14	J		
17. OPP ROCHESTER AMT-FREE NY NUMI FD CL A (X)	C	Dividend	K	T	Sold (part)	05/01/14	K		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$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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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)

18.					Sold (part)	08/18/14	L		
19. OPP EATON VANCE ENHANCED EQ INC FD	B	Dividend	K	T	Buy	05/01/14	K		
20. OPP HANCOCK JOHN FINL OPPTYS FD SH BEN INT NEW	A	Dividend	J	T	Buy	05/01/14	J		
21. OPP TEKLA LIFE SCIENCES INVS SH BEN INT	A	Dividend	K	T	Buy	05/01/14	J		
22.					Buy (add'l)	06/27/14	J		
23. OPP TORTOISE ENERGY INDEPENDENC FD	A	Dividend	K	T	Buy	08/18/14	K		
24. OPP INVESCO TR INVT GRADE NY MUNS TAX FREE COM	A	Int./Div.	J	T					
25. OPP MAINSTAY DEFINED TERM MN OPP FD TAX FREE COM	C	Int./Div.	L	T	Buy (add'l)	03/13/14	J		
26.					Buy (add'l)	08/18/14	J		
27. OPP NUVEEN NY PERFORM PLUS MUN FD TAX FREE COM	A	Interest	J	T	Buy	08/18/14	J		
28. OPP NUVEEN INTER DURATION MN TMFD TAX FREE COM	B	Int./Div.	K	T	Buy (add'l)	08/18/14	J		
29. OPP NEW YORK ST PWR AUTH REV NY MBIA 4% DUE 11/15/20 B/E REV OID (X)	B	Interest	K	T					
30. OPP NEW YORK N Y NY 4% DUE 02/01/22 B/E UGO OID (X)	C	Interest	L	T					
31. OPP NEW YORK N Y CITY MUN WTR FIN NY 3.625% DUE 06/15/25 B/E REV OID	A	Interest	K	T					
32. OPP LIPA N Y ELEC DUE 6/1/14 (X)	A	Interest			Matured	06/02/14	K		
33. Northwestern Mutual Life Insurance Policy	C	Dividend	M	T					

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

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	(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)

34. Guardian Life Insurance Policy	C	Dividend	L	T					
35. Massachusetts Mutual Life Insurance Policy	A	Interest	J	T					
36. Morgan Stanley Money Market Fund (Y)									
37. Morgan Stanley LIPA 5.60 Zero Coupon Bond due 6/1/14 (Y)									
38. MS NYS Power Auth Rev Ref Ser-C 4% due 11/15/20 (Y)									
39. MS NYC Genl Oblig Ser-I 4% Due 2/1/22 (Y)									
40. MS FOCUS GROWTH FD A (Y)									
41. MSIF Small Co Growth A (Y)									
42. MS FRANKLIN NY TX FR A (Y)									
43. MS Invesco Goba Core Equity A (Y)									
44. MS Invesco Small Cap Value A (Y)									
45. MS OPPENHEIMER AMT-FREE NY MUN A (Y)									
46. JPMorgan Federal Money Market Fund - Morgan (Y)									
47. AMERIPRISE INSURED MONEY MARKET ACCTS	A	Int/Div.	J	T					
48. ADV-BLACKROCK EQUITY DIVIDEND CL A	B	Dividend	M	T	Sold (part)	05/27/14	K	D	
49. ADV-COLUMBIA DIVIDEND OPPORTUNITY CL A	C	Dividend	L	T					
50. ADV-COLUMBIA INCOME OPP CL A	C	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)
51. ADV-EATON VANCE AMT FREE MUNICIPAL	C	Dividend	L	T					
52. ADV-FIDELITY ADVISOR FLOATING RATE HIGH INC CL A	B	Dividend	L	T					
53. ADV-OPPENHEIMER AMT FREE NY MUNICIPAL CL A	D	Dividend	M	T					
54. ADV-PIONEER AMT FREE MUNICIPAL CL A	C	Dividend	L	T					
55. ADV-TAX EXEMPT BOND AMERICA CL A	C	Dividend	L	T					
56. ADV-VIRTUS TAX EXEMPT BOND CL A	B	Dividend	L	T					
57. ONE-INVESCO MUNICIPAL INCOME CL A	B	Dividend	K	T					
58. ONE-BLACKROCK EQUITY DIVIDEND CL A	B	Dividend	M	T					
59. ONE-BLACKROCK FLOATING RATE INCOME INVESTOR CL A	C	Dividend	L	T					
60. ONE-COLUMBIA DIVIDEND OPPORTUNITY CL A	B	Dividend	K	T					
61. ONE-EATON VANCE FLTG RATE & HIGH INCOME CL A	C	Dividend			Sold	11/24/14	M		
62. ONE-FIDELITY ADVISOR NEW INSIGHTS CL A		None	L	T					
63. ONE-GABELLI EQUITY INCOME CL A	C	Dividend	L	T	Sold (part)	05/28/14	K	E	
64. ONE-MFS MUNICIPAL LIMITED MATURITY CL A	A	Dividend	L	T					
65. ONE-OPPENHEIMER SENIOR FLOATING RATE CL A	C	Dividend			Sold	11/24/14	L		
66. ONE-OPPENHEIMER ROCHESTER LTD TERM MUN CL A	B	Dividend	L	T					
67. ONE-PERMANENT PORTFOLIO	A	Dividend	K	T					

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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	
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68. ONE-ROCHESTER LTD TERM NY MUNI CL A	B	Dividend	L	T					
69. ONE-TAX EXEMPT BOND AMERICA CL A	C	Dividend	L	T					
70. CASH RESERVE CERTIFICATE	A	Interest	M	T	Open	02/28/14	M		
71.					Redeemed (part)	10/27/14	J		
72.					Redeemed (part)	10/28/14	J		
73.					Redeemed (part)	12/30/14	J		
74. CASH RESERVE CERTIFICATE	A	Interest	L	T	Open	02/28/14	M		
75.					Redeemed (part)	08/29/14	J		
76.					Redeemed (part)	10/27/14	J		
77.					Redeemed (part)	10/28/14	J		
78.					Redeemed (part)	11/24/14	J		
79.					Redeemed (part)	12/05/14	J		
80.					Redeemed (part)	12/30/14	J		
81. AFI Flexible Savings Certificate	A	Interest			Redeemed	02/28/14	M		
82. AFI Flexible Savings Certificate	A	Interest			Redeemed	02/28/14	M		
83. RiverSource Retirement Advisor 4 Advantage VA-Annuity	E	Dividend	O	T					
84. Ameriprise IRA (AH)	E	Int./Div.	O	T					

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85. -Columbus Circle LCG, IRA					Sold (part)	04/04/14	K		
86. -Lazard IA, IRA									
87. -Alta LCC, IRA					Sold (part)	04/04/14	K		
88. -Munder MCC, IRA					Sold (part)	04/04/14	K		
89. -MILLER HOWARD IE MLP, IRA					Buy	04/04/14	K		
90.					Buy (add'l)	04/04/14	K		
91.					Buy (add'l)	04/04/14	K		
92. -Flexible Savings Certificate, IRA									

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
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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.

A pending claim against American International Group, Inc. is currently in litigation (04 Civ. 8141 (DAB) (AJP)). The worth of that claim cannot be determined at this time.

JP Morgan Federal Money Market Fund-Morgan (Line 24 on the 2013 report; Line 46 on this report) was sold on 9/27/2013 and the funds were deposited into the Judge's JPMorgan Chase Checking Account. We inadvertently omitted this sale in the 2013 report. The JP Morgan Federal Money Market Fund-Morgan is no longer reportable and will be deleted from future reports.

On January 10, 2014, ten assets were transferred to Oppenheimer from Morgan Stanley. The assets transferred to Oppenheimer are marked with an (X), and the assets transferred out of Morgan Stanley are marked with a (Y). These assets are:

MORGAN STANLEY MONEY MARKET FUND
INVESCO GLOBAL CORE EQ FD CL A
INVESCO VAN KAMPEN SMALL CAP VALUE FD CL A
FRANKLIN NY TAX FREE INCOME FD INC CL A
LIPA N Y ELEC NY FSA DUE 06/01/14
MORGAN STANLEY FOCUS GROWTH CL A
MSIF SMALL CO GRTH PORT CL A
NEW YORK N Y NY 4% DUE 02/01/22
NEW YORK ST PWR AUTH REV NY MBIA 4% DUE 11/15/20
OPPENHEIMER ROCHESTER AMT-FREE NY MUNI FD CL A

These assets had no reportable income while at Morgan Stanley in 2014.

Line 10, DEUTSCHE STRATEGIC HIGH YIELD TAX-FREE FUND-INST was formerly called DWS STRATEGIC HIGH YIELD TAX-FREE FUND.

Line 21, TEKLA LIFE SCIENCES INVS SH BEN INT was formerly called H & Q LIFE SCIENCES INVS SH BEN INT.

In 2014, MORGAN STANLEY FOCUS GROWTH CLA merged into MSIF GROWTH FD CL A (Line 8).

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Name of Person Reporting

Sack, Robert D.

Date of Report

04/30/2015

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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Washington, D.C. 20544