

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/12/2020
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 01/01/2019 to 12/31/2019
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. 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, Defamation and Privacy
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. 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

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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. 2019	Practising Law Institute Book Royalties	\$18,458.67
2. 2019	Gibson, Dunn & Crutcher LLP Retirement Plan	\$72,000.00
3. 2019	Adjunct Professor, Columbia Law School	\$12,499.92
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. 2019	Thomson Reuters Royalties-West Publishing Corporation
2. 2019	Fellowship-The Frick Art Reference Center for the History of Collecting
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. Foreign and Commonwealth Office, UK	07/08/2019 to 07/13/2019	London, England	Adviser to High Level Legal Panel at Media Freedom Conference	Food, lodging and airfare
2.				
3.				
4.				
5.				

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Citibank Mastercard	Credit Cards	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 BANK DEPOSIT	A	Interest	K	T					
3. OPP ALLSTATE CORP	A	Dividend	J	T					
4. OPP APPLE INC	A	Dividend	L	T					
5. OPP BP PLC SPONSORED ADR	B	Dividend	K	T					
6. OPP BANK AMER CORP	A	Dividend	K	T					
7. OPP BOEING CO	B	Dividend	L	T					
8. OPP EXXON MOBIL CORP	A	Dividend	J	T					
9. OPP 13D ACTIVIST FUND CLASS I	A	Dividend	J	T					
10. OPP VANGUARD TREASURY MONEY MARKET	C	Int./Div.	M	T	Sold (part)	09/13/19	K		
11. OPP DWS STRATEGIC HIGH YIELD TAX-FREE FUND CL INST	A	Int./Div.	K	T					
12. OPP IVY MUNICIPAL HIGH INCOME FUND CLASS I	A	Int./Div.	J	T					
13. OPP NUVEEN HIGH YIELD MUNI BOND CL I	B	Int./Div.	K	T	Buy (add'l)	05/29/19	J		
14. OPP ETF MANAGERS TR PRIME CYBR SCRTY	A	Dividend	K	T					
15. OPP ISHARES TR US FIN SVC ETF	A	Dividend	K	T					
16. OPP ISHARES TR INTL SEL DIV ETF	A	Dividend	J	T					
17. OPP ISHARES TR US AER DEF ETF	A	Dividend	K	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	

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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)
18. OPP SPDR S&P AEROSPACE & DEFENCE	A	Dividend	K	T					
19. OPP SPDR SERIES TRUST S&P REGL BKG	A	Dividend	K	T					
20. OPP FINANCIAL SELECT SECTOR SPDR	A	Dividend	K	T					
21. OPP INDUSTRIAL SELECT SECTOR SPDR	A	Dividend	J	T					
22. OPP TECHNOLOGY SELECT SECTOR SPDR	A	Dividend	J	T					
23. OPP COHEN & STEERS MLP INC & ENRGY COM SHS	A	Dividend			Sold	12/17/19	J	B	
24. OPP NUVEEN DOW 30 DYN OVERWRITE	B	Dividend			Sold	05/29/19	K	C	
25. OPP NEUBERGER BERMAN MLP AND ENRGY CLOSED END	A	Dividend	J	T	Buy	12/17/19	J		
26. OPP TEKLA HEALTHCARE INVS SH BEN INT	B	Dividend	K	T					
27. OPP TEKLA LIFE SCIENCES INVS SH BEN INT	A	Dividend	J	T					
28. OPP NUVEEN NEW YORK AMT QLT MUNICP TAX FREE COM	B	Int./Div.	L	T	Buy (add'l)	09/13/19	J		
29. OPP NUVEEN INTER DURATION MN TMFD TAX FREE COM	C	Int./Div.	L	T	Buy (add'l)	05/29/19	J		
30.					Buy (add'l)	09/13/19	J		
31. OPP NEW YORK ST PWR AUTH REV NY MBIA 4% DUE 11/15/20 B/E REV OID	B	Interest			Redeemed	12/23/19	K		
32. OPP NEW YORK N Y CITY MUN WTR FIN NY 3.625% DUE 06/15/25 B/E REV OID	A	Interest	K	T					
33. Northwestern Mutual Whole Life Insurance Policy	C	Dividend	M	T					

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34. Guardian Whole Life Insurance Policy	A	Dividend			Closed	02/01/19	M	E	
35. ADV-COLUMBIA MORTGAGE OPPTYS INSTL CL	A	Dividend			Sold	02/20/19	K	A	
36. ADV-DREYFUS CASH MANAGEMENT INSTL CL	A	Dividend			Sold	02/20/19	K	A	
37. NB F/K/A ADV-EATON VANCE AMT FREE MUNICIPAL	A	Dividend			Sold	02/27/19	L	C	
38. NB F/K/A ADV-FIDELITY ADVISOR FLOATING RATE HIGH INC CL I	A	Dividend			Sold	02/27/19	L	D	
39. NB F/K/A ADV-HARTFORD CORE EQUITY CL I	A	Dividend			Sold	02/20/19	L		
40. NB F/K/A ADV-LORD ABBETT ULTRA SHORT BOND CL F	A	Dividend			Sold	02/27/19	K		
41. NB F/K/A ADV-OPPENHEIMER SENIOR FLOATING RATE CL Y	A	Dividend			Sold	02/22/19	K		
42. NB F/K/A ADV-PIONEER AMT FREE MUNICIPAL CL Y	A	Dividend			Sold	02/27/19	K	E	
43. NB F/K/A ADV-VIRTUS NEWFLEET TAX EXEMPT BOND CL I	A	Dividend			Sold	02/27/19	K		
44. NB F/K/A ADV-OPPENHEIMER S&P ULTRA DIVIDEND REV ETF	A	Dividend			Sold	03/22/19	K		
45. NB F/K/A ONE-INVESCO DIVERSIFIED DIVIDEND CL Y	A	Dividend			Sold	02/22/19	L		
46. NB F/K/A ONE-INVESCO MUNICIPAL INCOME CL Y	A	Dividend			Sold	02/27/19	K		
47. NB F/K/A ONE-BLACKROCK EQUITY DIVIDEND INSTL CL	A	Dividend			Sold	02/25/19	L	D	
48. ONE-DREYFUS CASH MANAGEMENT INSTL CL	A	Dividend			Sold	02/20/19	L	A	
49. NB F/K/A ONE-EATON VANCE FLOATING RATE ADVNTG CL I	A	Dividend			Sold	02/22/19	K		
50. NB F/K/A ONE-FIDELITY ADVISOR HEALTH CARE CL I	A	Dividend			Sold	02/25/19	K	D	

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51. NB F/K/A ONE-HARTFORD BALANCED INCOME CL1	A	Dividend			Sold	02/22/19	K	B	
52. NB F/K/A ONE-LORD ABBETT ULTRA SHORT BOND CL F	A	Dividend			Sold	02/27/19	L	A	
53. NB F/K/A ONE-MFS MUNICIPAL LTD MATURITY CL I	A	Dividend			Sold	02/27/19	L	C	
54. CASH RESERVE CERTIFICATE 848001	A	Interest			Redeemed	02/07/19	L	A	
55. CASH RESERVE CERTIFICATE 905001	A	Interest			Redeemed	02/07/19	K	A	
56. RiverSource Retirement Advisor 4 Advantage VA-Annuity	G	Int./Div.	O	T					
57. NB F/K/A BLACKROCK MULTI ASSET INCOME INSTL CL	A	Dividend			Sold	02/06/19	J		
58. NB F/K/A COLUMBIA BALANCED INSTL CL	A	Dividend			Sold	02/06/19	K		
59. NB F/K/A EATON VANCE FLOATING RATE ADVNTG CLI	A	Dividend			Sold	02/06/19	K		
60. NB F/K/A FIDELITY ADVISOR STRATEGIC INCOME CL I	A	Dividend			Sold	02/06/19	K		
61. NB F/K/A FIRST EAGLE GLOBAL CL I	A	Dividend			Sold	02/06/19	K		
62. NB F/K/A OPPENHEIMER SENIOR FLOATING RATE CL Y	A	Dividend			Sold	02/06/19	J		
63. NB F/K/A INVESCO EXCHANGE S&P 500 LOW VOLATILITY ETF	A	Dividend			Sold	02/06/19	J		
64. NB F/K/A SPDR S&P 500 ETF	A	Dividend			Sold	02/22/19	K		
65. NB F/K/A Columbus Circle LCG, IRA	A	Dividend			Sold	02/22/19	M		
66. NB F/K/A Lazard IA, IRA	A	Dividend			Sold	02/22/19	M		
67. NB F/K/A Alta LCC, IRA	A	Dividend			Sold	02/22/19	N		

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68. NB F/K/A VICTORY MUNDER MCC, IRA	A	Dividend			Sold	02/22/19	M		
69. NB 86 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	L	T					
70. NB 186 ACCENTURE PLC CLS A	A	Dividend	K	T	Buy	02/25/19	J		
71.					Buy (add'l)	03/01/19	J		
72. NB 186 ADOBE INC COM	A	Dividend	K	T	Buy	12/26/19	K		
73. NB 186 ALPHABET INC CAP STK CL A	A	Dividend	K	T	Buy	03/01/19	J		
74. NB 186 AMAZON.COM INC	A	Dividend	J	T	Buy	02/27/19	J		
75.					Buy (add'l)	03/01/19	J		
76.					Buy (add'l)	03/12/19	J		
77.					Buy (add'l)	06/18/19	J		
78. NB 186 AMEREN CORP COM	A	Dividend	K	T	Buy	02/20/19	K		
79.					Buy (add'l)	03/12/19	K		
80.					Buy (add'l)	03/18/19	J		
81.					Buy (add'l)	04/01/19	J		
82. NB 186 AMETEK INC COM	A	Dividend	K	T	Buy	02/22/19	J		
83.					Buy (add'l)	03/01/19	J		
84.					Buy (add'l)	03/18/19	J		

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85. NB 186 AMPHENOL CORP CLASS A COM	A	Dividend	K	T	Buy	03/01/19	J		
86.					Buy (add'l)	03/12/19	J		
87. NB 186 ANALOG DEVICES INC	A	Dividend			Buy	02/22/19	J		
88.					Buy (add'l)	02/25/19	J		
89.					Buy (add'l)	03/01/19	J		
90.					Sold (part)	07/25/19	J		
91.					Buy (add'l)	08/22/19	J		
92.					Sold	08/29/19	K		
93. NB 186 APPLE INC COM	A	Dividend	K	T	Buy	03/01/19	J		
94.					Sold (part)	04/25/19	J		
95. NB 186 BECTON DICKINSON & CO	A	Dividend			Buy	03/01/19	J		
96.					Buy (add'l)	04/01/19	J		
97.					Sold	06/18/19	J		
98. NB 186 BERKSHIRE HATHAWAY INC DEL CL B NEW	A	Dividend			Buy	03/12/19	J		
99.					Sold	04/11/19	K	D	
100. NB 186 BOEING CO COM	A	Dividend	K	T	Buy	03/01/19	K		
101.					Buy (add'l)	03/18/19	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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
Q =Appraisal
U =Book Value

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

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Name of Person Reporting

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
102.					Buy (add'l)	04/11/19	J		
103. NB 186 BOOKING HLDGS INC COM	A	Dividend	K	T	Buy	12/30/19	K		
104.					Buy (add'l)	12/26/19	K		
105. NB 186 CDW CORP COM	A	Dividend	K	T	Buy	02/22/19	J		
106.					Buy (add'l)	02/25/19	J		
107.					Buy (add'l)	03/01/19	J		
108.					Buy (add'l)	04/11/19	J		
109.					Sold (part)	09/18/19	J		
110.					Sold (part)	10/14/19	J		
111. NB 186 CISCO SYS INC COM	A	Dividend	K	T	Buy	02/25/19	J		
112.					Buy (add'l)	03/01/19	J		
113.					Buy (add'l)	03/12/19	J		
114.					Buy (add'l)	10/10/19	J		
115.					Buy (add'l)	11/14/19	J		
116. NB 186 CSX CORP COM	A	Dividend	K	T	Buy	02/22/19	J		
117.					Buy (add'l)	02/25/19	J		
118.					Buy (add'l)	02/25/19	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

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119.					Buy (add'l)	03/01/19	J		
120. NB 186 DISNEY WALT CO	A	Dividend	K	T	Buy	02/27/19	J		
121.					Buy (add'l)	08/07/19	J		
122. NB 186 ESTEE LAUDER COMPANIES INC COM	A	Dividend	K	T	Buy	03/01/19	J		
123.					Buy (add'l)	03/18/19	J		
124.					Buy (add'l)	05/15/19	J		
125.					Sold (part)	08/13/19	J		
126. NB 186 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend	K	T	Buy	02/22/19	J		
127.					Buy (add'l)	02/25/19	J		
128.					Buy (add'l)	02/27/19	J		
129.					Buy (add'l)	03/01/19	J		
130. NB 186 HOME DEPOT INC COM	B	Dividend	K	T	Buy	02/22/19	J		
131.					Buy (add'l)	02/25/19	K		
132.					Buy (add'l)	03/01/19	J		
133. NB 186 INTUIT COM	A	Dividend	K	T	Buy	11/25/19	K		
134. NB 186 INTUITIVE SURGICAL INC COM NEW	A	Dividend	J	T	Buy	02/20/19	J		
135. NB 186 MASTERCARD INC CL A	A	Dividend	K	T	Buy	03/01/19	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

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
136. NB 186 MCCORMICK&COMPANY INC COM NPVD	A	Dividend	K	T	Buy	08/07/19	K		
137. NB 325/186 MICROSOFT CORP	A	Dividend	K	T	Buy	02/22/19	J		
138.					Buy (add'l)	02/25/19	J		
139.					Buy (add'l)	02/27/19	J		
140.					Buy (add'l)	03/01/19	J		
141. NB 186 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend	K	T	Buy	03/22/19	K		
142.					Buy (add'l)	03/11/19	J		
143.					Sold (part)	06/05/19	J		
144. NB 186 NEXTERA ENERGY INC COM	A	Dividend	K	T	Buy	02/22/19	K		
145.					Buy (add'l)	02/27/19	J		
146.					Buy (add'l)	03/01/19	J		
147. NB 186 NEXTERA ENERGY PARTNERS LP COM	B	Dividend	K	T	Buy	06/18/19	K		
148. NB 186 NIKE INC CLASS B COM	A	Dividend	J	T	Buy	03/01/19	J		
149.					Buy (add'l)	03/12/19	J		
150.					Buy (add'l)	03/18/19	J		
151.					Sold (part)	05/21/19	J		
152. NB 186 PHILLIPS 66 COM	A	Dividend	J	T	Buy	03/01/19	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

Sack, Robert D.

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05/12/2020

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)
153. NB 186 PROCTER & GAMBLE CO COM	A	Dividend	K	T	Buy	02/27/19	J		
154.					Buy (add'l)	03/01/19	J		
155.					Buy (add'l)	03/12/19	J		
156. NB 186 ROPER TECHNOLOGIES INC	A	Dividend	J	T	Buy	02/22/19	J		
157.					Buy (add'l)	03/01/19	J		
158. NB 186 SVB FINL GROUP	A	Dividend	K	T	Buy	03/01/19	J		
159.					Buy (add'l)	03/18/19	J		
160. NB 186 THERMO FISHER SCIENTIFIC INC	A	Dividend	K	T	Buy	03/01/19	J		
161. NB 186 TJX COS INC NEW COM	A	Dividend	J	T	Buy	02/20/19	J		
162. NB 186 UNION PACIFIC CORP COM	A	Dividend	K	T	Buy	02/22/19	J		
163.					Buy (add'l)	02/25/19	J		
164.					Buy (add'l)	02/27/19	K		
165.					Buy (add'l)	03/01/19	J		
166. NB 186 VISA INC COM CL A	A	Dividend	K	T	Buy	03/01/19	J		
167. NB 186 VISTRA ENERGY CORP COM	A	Dividend	K	T	Buy	04/11/19	K		
168.					Buy (add'l)	05/15/19	J		
169. NB 186 ZEBRA TECHNOLOGIES CORP CL A	A	Dividend	K	T	Buy	02/22/19	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

Sack, Robert D.

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05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
170.					Buy (add'l)	02/25/19	J		
171.					Buy (add'l)	03/01/19	J		
172. NB 186 ZOETIS INC COM	A	Dividend	K	T	Buy	03/01/19	J		
173.					Buy (add'l)	04/01/19	J		
174.					Buy (add'l)	04/11/19	J		
175.					Buy (add'l)	05/15/19	J		
176. NB 186 ZIMMER BIOMET HLDGS INC 2.70000% 4/1/20	A	Interest	J	T	Buy	04/12/19	J		
177. NB 186 FISERV INC NOTE CALL MAKE WHOLE 2.70000% 6/1/20	A	Interest	J	T	Buy	03/07/19	J		
178. NB 186 MORGAN STANLEY MTN 2.80000% 6/16/20	A	Interest	J	T	Buy	04/25/19	J		
179. NB 186 ACE INA HLDGS INC NOTE CALL MAKE WHOLE 2.30000% 11/3/20	A	Interest	J	T	Buy	12/11/19	J		
180. NB 186 LOCKHEED MARTIN CORP NOTE CALL MAKE WHOLE 2.50000% 11/23/20	A	Interest	J	T	Buy	05/07/19	J		
181. NB 186 ANALOG DEVICES INC NOTE CALL MAKE WHOLE 2.95000% 1/12/21	A	Interest	J	T	Buy	03/07/19	J		
182. NB 186 PIONEER NAT RES CO NOTE CALL MAKE WHOLE 3.45000% 1/15/21	A	Interest	J	T	Buy	04/15/19	J		
183. NB 186 VULCAN MATLS CO NOTE 2.55688% 3/1/21	A	Interest	J	T	Buy	03/25/19	J		
184. NB 186 MARRIOTT INTL INC NOTE 2.53500% 3/8/21	A	Interest	J	T	Buy	03/26/19	J		
185. NB 186 WELLS FARGO CO MTN BE 4.60000% 4/1/21	A	Interest	J	T	Buy	04/03/19	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

Sack, Robert D.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
186. NB 186 TOTAL CAPITAL INTERNATIONAL S.A. 2.218% 7/12/21	A	Interest	J	T	Buy	07/08/19	J		
187. NB 186 ZOETIS INC NOTE CALL MAKE WHOLE 2.33850% 8/20/21	A	Interest	J	T	Buy	02/28/19	J		
188. NB 186 CANADIAN NATURAL RESOURCES LTD NOTE 3.45000% 11/15/21	A	Interest	J	T	Buy	04/23/19	J		
189. NB 186 MOODYS CORP NOTE CALL MAKE WHOLE 2.75000% 12/15/21	A	Interest	J	T	Buy	04/10/19	J		
190. NB 186 JPMORGAN CHASE &CO NOTE 4.50000% 1/24/22	A	Interest	J	T	Buy	04/26/19	J		
191. NB 186 WEC ENERGY GROUP INC NOTE CALL MAKE WHOLE 3.1000% 3/8/22	A	Interest	J	T	Buy	03/04/19	J		
192. NB 186 WESTERN UN CO NOTE CALL MAKE WHOLE 3.60000% 3/15/22	A	Interest	J	T	Buy	03/11/19	J		
193. NB 186 AMERIPRISE FINL INC NOTE CALL MAKE WHOLE 3.00000% 3/22/22	A	Interest	J	T	Buy	03/12/19	J		
194. NB 186 BANK OF MONTREAL MTN 2.90000% 3/26/22	A	Interest	J	T	Buy	03/21/19	J		
195. NB 186 TOYOTA MOTOR CREDIT CORP MTN 2.65000% 4/12/22	A	Interest	J	T	Buy	04/09/19	J		
196. NB 186 OCCIDENTAL PETE CORP NOTE CALL MAKE WHOLE 2.60000% 4/15/22	A	Interest	J	T	Buy	06/14/19	J		
197. NB 186 BOEING CO NOTE CALL MAKE WHOLE 2.70000% 5/1/22	A	Interest	J	T	Buy	04/30/19	J		
198. NB 186 MOTOROLA SOLUTIONS INC 3.75000% 5/15/22	A	Interest	J	T	Buy	05/09/19	J		
199. NB 186 GLAXOSMITHKLINE CAP PLC NOT 2.87500% 6/1/22	A	Interest	J	T	Buy	03/18/19	J		
200. NB 186 RYDER SYS MTN BE CALL MAKE WHOLE 2.87500% 6/1/22	A	Interest	J	T	Buy	05/15/19	J		
201. NB 186 BB&T CORP SR MEDIUM TERM NTS NOTE 3.05000% 6/20/22	A	Interest	J	T	Buy	03/11/19	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

Sack, Robert D.

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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)
202. NB 186 CHURCH & DWIGHT INC NOTE CALL MAKE WHOLE 2.45000% 8/1/22	A	Interest	J	T	Buy	05/29/19	J		
203. NB 186 DTE ENERGY CO NOTE CALL MAKE WHOLE 2.25000% 11/1/22	A	Interest	J	T	Buy	10/29/19	J		
204. NB 186 DH EUROPE FIN II S A R L NOTE 2.05000% 11/15/22	A	Interest	J	T	Buy	10/29/19	J		
205. NB 186 BANK AMER CORP MTN 3.30000% 1/11/23	A	Interest	J	T	Buy	09/20/19	J		
206. NB 186 GOLDMAN SACHS GROUP INC MTN 3.62500%	A	Interest	J	T	Buy	04/26/19	J		
207. NB 186 EATON VANCE CORP NOTE CALL MAKE WHOLE 3.62500% 6/15/23	A	Interest	J	T	Buy	06/14/19	J		
208. NB 186 COMERICA INC NOTE 3.70000% 7/31/23	A	Interest	J	T	Buy	07/31/19	J		
209. NB 186 ASTRAZENECA NOTE CALL MAKE WHOLE 3.50000% 8/17/23	A	Interest	J	T	Buy	11/20/19	J		
210. NB 186 ROPER TECHNOLOGIES INC NOTE 3.65000% 9/15/23	A	Interest	J	T	Buy	04/17/19	J		
211. NB 186 TRANSCANADA PIPELINES LTD NOTE 3.75000% 10/16/23	A	Interest	J	T	Buy	03/08/19	J		
212. NB 186 SHELL INTL.FIN.BV NOTE CALL MAKE WHOLE 3.50000% 11/13/23	A	Interest	J	T	Buy	10/03/19	J		
213. NB 186 PNC FINL SVCS GROUP INC NOTE 3.50000% 1/23/24	A	Interest	J	T	Buy	09/12/19	J		
214. NB 186 BUNGE LTD FIN CORP NOTE CALL MAKE WHOLE 4.35000% 3/15/24	A	Interest	J	T	Buy	05/23/19	J		
215. NB 186 AT&T INC NOTE CALL MAKE WHOLE 4.45000% 4/1/24	A	Interest	J	T	Buy	03/13/19	J		
216. NB 186 COMCAST CORP NEW NOTE CALL MAKE WHOLE 3.70000% 4/15/24	A	Interest	J	T	Buy	09/26/19	J		
217. NB 186 CITIGROUP INC NOTE CALL MAKE WHOLE 4.04400% 6/1/24	A	Interest	J	T	Buy	05/22/19	J		
218. NB 186 NASDAQ INC NOTE CALL MAKE WHOLE 4.25000% 6/1/24	A	Interest	J	T	Buy	05/07/19	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

Sack, Robert D.

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05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
219. NB 186 MEDTRONIC INC NOTE CALL MAKE WHOLE 3.50000% 3/15/25	A	Interest	J	T	Buy	09/10/19	J		
220. NB 186 FREEPORT-MCMORAN INC NOTE CALL MAKE WHOLE 3.55000% 3/1/22	A	Interest	J	T	Buy	08/02/19	J		
221. NB 186 BALL CORP NOTE CALL MAKE WHOLE 5.00000% 3/15/22	A	Interest	J	T	Buy	03/21/19	J		
222. NB 186 ANIXTER INC NOTE CALL MAKE WHOLE 5.50000% 3/1/23	A	Interest	J	T	Buy	04/17/19	J		
223. NB 186 TOLL BROS FIN CORP NOTE CALL MAKE WHOLE 4.37500% 4/15/23	A	Interest	J	T	Buy	03/19/19	J		
224. NB 186 AMERIGAS PARTNERS L P NOTE 5.62500% 5/20/24	A	Interest	J	T	Buy	03/14/19	J		
225. NB 186 UNITED STATES TREAS NTS NOTE 2.50000% 2/28/21	A	Interest	K	T	Buy	03/14/19	K		
226. NB 186 UNITED STATES TREASURY BILLS 0.00000% 9/12/19	A	Interest			Buy	03/14/19	K		
227.					Sold (part)	05/23/19	J		
228.					Sold	08/02/19	J		
229. NB 186 CVS HEALTH CORP QUARTERLY US 3/9/20	A	Interest			Buy	03/13/19	J		
230.					Sold	08/23/19	J	A	
231. NB 186 NEXTERA ENERGY CAPITAL QUARTERLY US 9/3/19	A	Interest			Buy	03/14/19	J		
232.					Matured	09/03/19	J		
233. NB 186 CDW LLC/CDW FIN CORP 5.00000% 9/1/23 CALLED 10/12/19	A	Interest			Buy	03/20/19	J		
234.					Expired	10/12/19	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

Sack, Robert D.

Date of Report

05/12/2020

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)
235. NB 186 JM SMUCKER CO 2.50000% 3/15/2020	A	Interest			Buy	03/22/19	J		
236.					Sold	10/03/19	J		
237. NB 186 VISTRA ENERGY CORP 7.62500% 11/1/24 CALLED 11/1/19	A	Interest			Buy	04/24/19	J		
238.					Expired	11/01/19	J		
239. NB 186 RANGE RESOURCES CORP 5.75% 6/1/21	A	Interest			Buy	07/31/19	J		
240.					Sold	11/25/19	J		
241. NB 186 CHUBB INA HOLDINGS INC 2.3% 11/3/20	A	Interest	J	T	Buy	12/09/19	J		
242. NB 435 DRYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	L	T					
243. NB 435 ALPHABET INC CAP STK CL C	A	Dividend	K	T	Buy	02/22/19	K		
244.					Buy (add'l)	02/25/19	J		
245.					Buy (add'l)	02/27/19	J		
246.					Buy (add'l)	03/01/19	J		
247. NB 435 AMAZON.COM INC	A	Dividend	K	T	Buy	02/22/19	K		
248.					Buy (add'l)	03/01/19	J		
249.					Buy (add'l)	03/12/19	J		
250. NB 435 AMEREN CORP COM USD0.01	A	Dividend	K	T	Buy	02/25/19	K		
251.					Buy (add'l)	02/27/19	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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
252.					Buy (add'l)	03/01/19	J		
253. NB 435 ANALOG DEVICES INC	A	Dividend			Buy	02/25/19	K		
254.					Buy (add'l)	03/01/19	J		
255.					Sold (part)	07/25/19	J	A	
256.					Sold	08/29/19	K	A	
257. NB 435 APTIV PLC	A	Dividend			Buy	02/22/19	K		
258.					Buy (add'l)	02/27/19	J		
259.					Buy (add'l)	03/01/19	J		
260.					Sold	06/27/19	K		
261. NB 435 BOEING CO COM USD5.00	A	Dividend	K	T	Buy	03/12/19	K		
262.					Buy (add'l)	03/18/19	J		
263.					Buy (add'l)	03/22/19	J		
264.					Buy (add'l)	04/01/19	J		
265. NB 435 CDW CORP COM USD0.01	A	Dividend	K	T	Buy	02/25/19	K		
266.					Buy (add'l)	02/27/19	J		
267.					Buy (add'l)	03/01/19	J		
268. NB 435 CISCO SYS INC COM	A	Dividend	K	T	Buy	09/26/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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

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Name of Person Reporting

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
269.					Buy (add'l)	10/10/19	J		
270.					Buy (add'l)	11/14/19	J		
271. NB 435 CME GROUP INC COM	A	Dividend	K	T	Buy	02/27/19	K		
272.					Buy (add'l)	03/01/19	J		
273.					Buy (add'l)	03/12/19	J		
274. NB 435 CSX CORP COM USD1	A	Dividend	K	T	Buy	04/01/19	K		
275.					Buy (add'l)	04/11/19	J		
276.					Buy (add'l)	07/17/19	J		
277. NB 435 DANAHER CORPORATION COM	A	Dividend	K	T	Buy	02/25/19	K		
278.					Buy (add'l)	03/01/19	J		
279.					Sold (part)	03/07/19	J		
280.					Buy (add'l)	04/11/19	J		
281. NB 435 DISNEY WALT CO	A	Dividend	K	T	Buy	08/06/19	J		
282.					Buy (add'l)	08/07/19	J		
283. NB 435 EXACT SCIENCES CORP	A	Dividend	J	T	Buy	03/22/19	J		
284. NB 435 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend	K	T	Buy	02/27/19	K		
285.					Buy (add'l)	03/01/19	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	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
286.					Buy (add'l)	03/18/19	J		
287. NB 435 HOME DEPOT INC COM	B	Dividend	K	T	Buy	02/25/19	K		
288.					Buy (add'l)	02/27/19	J		
289.					Buy (add'l)	03/01/19	J		
290.					Buy (add'l)	03/12/19	J		
291. NB 435 INTUIT COM	A	Dividend	K	T	Buy	03/22/19	K		
292. NB 435 MARRIOTT INTERNATIONAL INC COM USD0.01	A	Dividend	K	T	Buy	02/25/19	K		
293.					Buy (add'l)	02/27/19	J		
294.					Buy (add'l)	03/01/19	J		
295.					Sold (part)	05/01/19	J	A	
296. NB 435 MCDONALDS CORP	A	Dividend	K	T	Buy	02/25/19	K		
297.					Buy (add'l)	02/27/19	J		
298.					Buy (add'l)	03/01/19	J		
299.					Buy (add'l)	03/12/19	J		
300. NB 435 MICROSOFT CORP	A	Dividend	L	T	Buy	02/25/19	K		
301.					Buy (add'l)	03/01/19	J		
302. NB 435 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend	K	T	Buy	02/22/19	K		

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

Sack, Robert D.

Date of Report

05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
303.					Buy (add'l)	02/27/19	J		
304.					Buy (add'l)	03/01/19	J		
305. NB 435 NEXTERA ENERGY INC COM USD0.01	A	Dividend	K	T	Buy	02/25/19	K		
306.					Buy (add'l)	02/27/19	J		
307.					Buy (add'l)	03/01/19	J		
308.					Buy (add'l)	03/12/19	J		
309. NB 435 NEXTERA ENERGY PARTNERS LP COM UNIT PART	A	Distribution	K	T	Buy	04/01/19	K		
310. NB 435 NORFOLK SOUTHERN CORP COM USD1	A	Dividend	K	T	Buy	02/22/19	K		
311.					Buy (add'l)	02/27/19	J		
312.					Buy (add'l)	03/01/19	J		
313.					Buy (add'l)	03/12/19	J		
314. NB 435 ROPER TECHNOLOGIES	A	Dividend	K	T	Buy	04/25/19	K		
315. NB 435 ZEBRA TECHNOLOGIES CORP CL A	A	Dividend	K	T	Buy	03/22/19	K		
316.					Buy (add'l)	04/01/19	J		
317. NB 435 VULCAN MATLS CO NOTE 2.49363% 6/15/20	A	Interest	J	T	Buy	03/18/19	J		
318. NB 435 KRAFT HEINZ FOODS CO NOTE 2.47138% 2/10/21	A	Interest	J	T	Buy	05/01/19	J		
319. NB 435 MARRIOTT INTL INC NOTE 2.53500% 3/8/21	A	Interest	J	T	Buy	04/05/19	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

Sack, Robert D.

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05/12/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
320. NB 435 UNITED PARCEL SERVICE INC NOTE 2.24863% 4/1/21	A	Interest	J	T	Buy	04/30/19	J		
321. NB 435 GLAXOSMITHKLINE CAPITAL PLC NOTE 0.0% 5/14/21	A	Interest	J	T	Buy	12/20/19	J		
322. NB 435 ZOETIS INC NOTE CALL MAKE WHOLE 2.33850% 8/20/21	A	Interest	J	T	Buy	02/28/19	J		
323. NB 435 NEXTERA ENERGY CAP HLDGS INC BOND 2.9% 4/1/22	A	Interest	J	T	Buy	04/01/19	J		
324. NB 435 GOLDMAN SACHS GROUP INC MTN 4.0% 3/3/24	A	Interest	J	T	Buy	07/29/19	J		
325. NB 435 MARATHON OIL CORP NOTE CALL MAKE WHOLE 3.85% 6/1/25	A	Interest	J	T	Buy	11/20/19	J		
326. NB 435 DOWDUPONT INC NOTE CALL MAKE WHOLE 4.49300% 11/15/25	A	Interest	J	T	Buy	04/03/19	J		
327. NB 435 CBS CORP NEW NOTE CALL MAKE WHOLE 4.0% 1/15/26	A	Interest	J	T	Buy	03/28/19	J		
328. NB 435 ARCELORMITTAL SA LUXEMBOURG NOTE 4.55% 3/11/26	A	Interest	J	T	Buy	03/06/19	J		
329. NB 435 CITIGROUP INC NOTE 4.45% 9/29/27	A	Interest	J	T	Buy	04/03/19	J		
330. NB 435 APACHE CORP NOTE CALL MAKE WHOLE 4.375% 10/15/28	A	Interest	J	T	Buy	06/14/19	J		
331. NB 435 BALL CORP NOTE CALL MAKE WHOLE 5.0% 3/15/22	A	Interest	J	T	Buy	03/21/19	J		
332. NB 435 ANIXTER INC NOTE CALL MAKE WHOLE 5.5% 3/1/23	A	Interest	J	T	Buy	04/17/19	J		
333. NB 435 TOLL BROS FIN CORP NOTE CALL MAKE WHOLE 4.375% 4/15/23	A	Interest	J	T	Buy	03/19/19	J		
334. NB 435 AMERIGAS PARTNERS L P NOTE 5.625% 5/20/24	A	Interest	J	T	Buy	03/14/19	J		
335. NB 435 MURPHY OIL CORP NOTE CALL MAKE WHOLE 6.875% 8/15/24	A	Interest	J	T	Buy	05/01/19	J		
336. NB 435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/20 (649905XC5)	A	Interest	J	T	Buy	03/22/19	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

Sack, Robert D.

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05/12/2020

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)
337. NB 435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/20 (649906TR5)	A	Interest	J	T	Buy	03/22/19	J		
338. NB 435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/21	A	Interest	K	T	Buy	04/24/19	K		
339. NB 435 BATTERY PK CITY AUTH N Y REV SENIOR REV 5.0% 11/1/21	A	Interest	K	T	Buy	03/22/19	K		
340. NB 435 NEW YORK NY CITY TRANSITIONAL FIN 5.0% 11/1/21	A	Interest	K	T	Buy	04/03/19	K		
341. NB 435 METROPOLITAN TRANSN AUTH N Y REV REV 5.0% 11/15/21	A	Interest	K	T	Buy	04/24/19	K		
342. NB 435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/22	A	Interest	K	T	Buy	03/12/19	K		
343. NB 435 WESTCHESTER CNTY N Y GO REF BDS SER. 3.0% 10/15/22	A	Interest	K	T	Buy	03/12/19	K		
344. NB 435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/23	A	Interest	K	T	Buy	04/10/19	K		
345. NB 435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 5/1/23	A	Interest	K	T	Buy	03/12/19	K		
346. NB 435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 7/15/23	A	Interest	K	T	Buy	05/02/19	K		
347. NB 435 NEW YORK N Y CITY INDL DEV AGY SPL FAC 5.0% 5/1/24	A	Interest	K	T	Buy	03/27/19	K		
348. NB 435 NEW YORK N Y GO BDS SER. 2019 E 5.0% 8/1/24	A	Interest	K	T	Buy	03/08/19	K		
349. NB 435 METROPOLITAN TRANSN AUTH N Y DEDICATED 5.0% 11/15/24	A	Interest	K	T	Buy	04/09/19	K		
350. NB 435 CONNECTICUT ST GO BDS SER. 2019 A 5.0% 4/15/27	A	Interest	K	T	Buy	03/29/19	K		
351. NB 435 NEW YORK N Y CITY TRANSITIONAL FIN 5.0% 11/1/39	A	Interest	K	T	Buy	03/27/19	K		
352. NB 435 F/K/A ONE-EVENTIDE GILEAD FUND CLASS I	B	Distribution	K	T					
353. NB 435 F/K/A ONE-FIDELITY ADVISOR NEW INSIGHTS CL I	D	Distribution	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		
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
354. NB 435 F/K/A ADV-HARTFORD CORE EQUITY FUND CLASS I	B	Distribution	L	T					
355. NB 435 F/K/A ADV-INVESCO EXCHNG TRADED FD TR II S&P 500	B	Dividend	L	T					
356. NB 435 VISTRA ENERGY CORP COM	A	Dividend			Buy	04/11/19	K		
357.					Sold	12/30/19	K		
358. NB 435 ILLINOIS ST TOLL HWY AUTH TOLL HIGHWAY 5.0% 12/1/19	A	Interest			Buy	03/18/19	K		
359.					Matured	12/01/19	J		
360. NB 435 CVS HEALTH CORP QUARTERLY US 3/9/20	A	Interest			Buy	03/13/19	J		
361.					Sold	06/14/19	J	A	
362. NB 435 CDW LLC/CDW FIN CORP 5.0% 9/1/23	A	Interest			Buy	03/20/19	J		
363.					Expired	10/12/19	J	A	
364. NB 435 VISTRA ENERGY CORP 7.625% 11/1/24	A	Interest			Buy	04/24/19	J		
365.					Expired	11/01/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

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

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Name of Person Reporting

Sack, Robert D.

Date of Report

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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.

Line 35 on the 2018 Financial Disclosure Report, OPP NEW YORK N Y NY 4% due 02/01/22 B/E UGO OID, was sold entirely in 2018. The 2018 Financial Disclosure Report inadvertently said it was sold in part. That item has been removed from this 2019 Report.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Sack, Robert D.

Date of Report

05/12/2020

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