

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/30/2021
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 01/01/2020 to 12/31/2020
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. 2020	Practising Law Institute Book Royalties	\$11,433.08
2. 2020	Gibson, Dunn & Crutcher LLP Retirement Plan	\$72,000.00
3. 2020	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. 2020	West Publishing Corporation, Thomson Reuters Royalties
2. 2020	Marymount Manhattan College, Adjunct Professor of Art History
3. 2020	Winterthur Museum, Honorarium
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.				
2.				
3.				
4.				
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 Cards	J
2. American Express	Credit Card	J
3.		
4.		
5.		

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)
1. JPMORGAN CHASE ACCOUNTS	A	Interest	L	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 BP PLC SPONSORED ADR	B	Dividend			Sold	09/23/20	J	A	
6. OPP BANK AMER CORP	A	Dividend	K	T					
7. OPP BOEING CO	B	Dividend	L	T					
8. OPP CHEVRON	A	Dividend	K	T	Buy	09/23/20	K		
9. OPP EXXON MOBIL CORP	A	Dividend			Sold	09/23/20	J	A	
10. OPP 13D ACTIVIST FUND CLASS I	A	Dividend	J	T					
11. OPP VANGUARD TREASURY MONEY MARKET	C	Int./Div.	M	T	Sold (part)	03/03/20	J	A	
12. OPP DWS STRATEGIC HIGH YIELD TAX-FREE FUND CL INST	A	Interest	K	T					
13. OPP IVY MUNICIPAL HIGH INCOME FUND CLASS I	A	Int./Div.	J	T					
14. OPP NUVEEN HIGH YIELD MUNI BOND CL I	B	Interest	K	T					
15. OPP ETF MANAGERS TR PRIME CYBR SCRTY	A	Dividend	K	T					
16. OPP ISHARES TR US FIN SVC ETF	A	Dividend	K	T					
17. OPP ISHARES TR INTL SEL DIV ETF	A	Dividend	J	T					

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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18. OPP ISHARES TR US AER DEF ETF	A	Dividend	K	T					
19. OPP SPDR S&P AEROSPACE & DEFENCE	A	Dividend	K	T					
20. OPP SPDR S&P REGIONAL BANKING	A	Dividend	K	T					
21. OPP FINANCIAL SELECT SECTOR SPDR	A	Dividend	K	T					
22. OPP INDUSTRIAL SELECT SECTOR SPDR	A	Dividend	J	T					
23. OPP TECHNOLOGY SELECT SECTOR SPDR	A	Dividend	J	T					
24. OPP VANECK VECTORS ETF	A	Dividend	K	T	Buy	09/23/20	K		
25. OPP COHEN & STEERS QUALITY INCOME CLOSED END	B	Dividend	K	T	Buy	03/03/20	K		
26. OPP NEUBERGER BERMAN MLP AND ENRGY CLOSED END	A	Dividend	J	T					
27. OPP TEKLA HEALTHCARE INVS SH BEN INT CLOSED END	B	Dividend	K	T					
28. OPP TEKLA LIFE SCIENCES INVS SH BEN INT CLOSED END	A	Dividend	J	T					
29. OPP EATON VANCE MUN BD FD TAX FREE COM	B	Interest	K	T	Buy	03/03/20	K		
30. OPP NUVEEN NEW YORK AMT QLT MUNICP TAX FREE COM	B	Interest	L	T					
31. OPP NUVEEN INTER DURATION MUN TERM TAX FREE COM	C	Interest	L	T					
32. OPP NEW YORK N Y CITY MUN WTR FIN NY 3.625% DUE 06/15/25 B/E REV OID	A	Interest			Sold	06/15/20	K	A	
33. Northwestern Mutual Whole Life Insurance Policy	C	Dividend			Distributed	02/28/20	M	E	

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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34. Ameriprise RiverSource Retirement Advisor 4 Advantage VA-Annuity	F	Interest	O	T					
35. NB186 DREYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	M	T					
36. NB186 ACCENTURE PLC CLS A	A	Dividend			Buy (add'l)	05/20/20	K		
37.					Sold	08/07/20	K	A	
38. NB186 ADOBE INC COM	A	Dividend			Sold (part)	07/16/20	J	A	
39.					Sold	08/07/20	K	A	
40. NB186 ALIBABA GROUP HOLDING LTD	A	Dividend			Buy	04/03/20	J		
41.					Sold	05/20/20	K	B	
42. NB186 ALPHABET INC CAP STK CL A	A	Dividend			Sold	08/07/20	K	A	
43. NB186 AMAZON.COM INC	A	Dividend	K	T	Sold (part)	08/07/20	L	B	
44.					Buy	09/04/20	K		
45. NB186 AMEREN CORP COM	A	Dividend			Sold	05/20/20	K	A	
46. NB186 AMETEK INC COM	A	Dividend			Sold	05/20/20	K	A	
47. NB186 AMPHENOL CORP CLASS A COM	A	Dividend			Sold	08/07/20	K	A	
48. NB186 APPLE INC COM	A	Dividend			Sold	08/07/20	L	A	
49. NB186 ASML HOLDING NV	A	Dividend			Buy	01/27/20	J		
50.					Sold	08/07/20	K	A	

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51. NB186 BOEING CO COM	A	Dividend			Buy (add'l)	03/10/20	J		
52.					Sold	03/20/20	J	A	
53. NB186 BOOKING HLDGS INC COM	A	Dividend			Sold	02/28/20	K	A	
54. NB186 CDW CORP COM	A	Dividend			Buy (add'l)	05/20/20	J		
55.					Buy (add'l)	06/01/20	J		
56.					Sold	08/07/20	K	A	
57. NB186 CISCO SYS INC COM	A	Dividend			Sold	05/20/20	K	A	
58. NB186 CSX CORP COM	A	Dividend			Sold	08/07/20	K	A	
59. NB186 DANAHER COPRPORATION	A	Dividend	K	T	Buy	09/04/20	K		
60. NB186 ECOLAB INC	A	Dividend	K	T	Buy	07/31/20	K		
61.					Buy (add'l)	08/07/20	K		
62. NB186 ESTEE LAUDER COMPANIES INC COM	A	Dividend			Sold	05/29/20	K	A	
63. NB186 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend			Sold	08/07/20	K	A	
64. NB186 HOME DEPOT INC COM	B	Dividend			Sold	08/07/20	L	A	
65. NB186 INTUIT COM	A	Dividend			Buy (add'l)	05/29/20	J		
66.					Sold	08/07/20	K	A	
67. NB186 INTUITIVE SURGICAL INC COM NEW	A	Dividend			Sold	05/29/20	J	A	

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68. NB186 MASTERCARD INC CL A	A	Dividend			Sold	08/07/20	K	A	
69. NB186 MCCORMICK&COMPANY INC COM NPVD	A	Dividend			Sold (part)	05/18/20	J	A	
70.					Sold	05/20/20	K	A	
71. NB186 MEDTRONIC PLC	A	Dividend			Buy	03/04/20	K		
72.					Sold	08/07/20	K	A	
73. NB186 MICROSOFT CORP	A	Dividend			Sold	08/07/20	L	A	
74. NB186 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend			Sold	08/07/20	K	A	
75. NB186 NEXTERA ENERGY INC COM	A	Dividend			Buy (add'l)	05/20/20	J		
76.					Sold	08/07/20	K	A	
77. NB186 NEXTERA ENERGY PARTNERS LP COM	B	Dividend			Buy (add'l)	05/20/20	J		
78.					Sold	08/07/20	L	A	
79. NB186 NIKE INC CLASS B COM	A	Dividend			Sold	05/29/20	J	A	
80. NB186 OMNICOM GROUP INC	A	Dividend			Buy	06/15/20	J		
81.					Sold	08/07/20	J	A	
82. NB186 PHILLIPS 66 COM	A	Dividend			Sold (part)	05/20/20	J	A	
83.					Buy	06/23/20	J		
84.					Sold	08/07/20	J	A	

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85. NB186 PROCTER & GAMBLE CO COM	A	Dividend			Sold	08/07/20	K	A	
86. NB186 ROPER TECHNOLOGIES INC	A	Dividend			Sold	08/07/20	K	A	
87. NB186 SVB FINL GROUP	A	Dividend			Sold	08/07/20	K	A	
88. NB186 TARGET CORP	A	Dividend	K	T	Buy	09/08/20	K		
89. NB186 THERMO FISHER SCIENTIFIC INC	A	Dividend			Sold	08/07/20	K	A	
90. NB186 TJX COS INC NEW COM	A	Dividend	K	T	Buy (add'l)	04/23/20	J		
91.					Buy (add'l)	05/29/20	J		
92.					Buy (add'l)	08/07/20	J		
93. NB186 UNION PACIFIC CORP COM	A	Dividend			Buy (add'l)	05/20/20	J		
94.					Sold	08/07/20	K	A	
95. NB186 VISA INC COM CL A	A	Dividend			Sold	08/07/20	K	A	
96. NB186 VISTRA ENERGY CORP COM	A	Dividend			Sold	05/20/20	K	A	
97. NB186 WALMART INC	A	Dividend			Buy	01/27/20	J		
98.					Buy (add'l)	01/31/20	J		
99.					Buy (add'l)	05/29/20	J		
100.					Sold	08/07/20	K	A	
101. NB186 WALT DISNEY CO	A	Dividend			Sold (part)	03/02/20	J	A	

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102.					Buy (add'l)	05/29/20	J		
103.					Sold	08/07/20	K	A	
104. NB186 ZEBRA TECHNOLOGIES CORP CL A	A	Dividend			Buy (add'l)	05/29/20	J		
105.					Sold	08/07/20	K	A	
106. NB186 ZOETIS INC COM	A	Dividend			Sold	08/07/20	K	A	
107. NB186 ZIMMER BIOMET HLDGS INC 2.70000% 4/1/20	A	Interest			Redeemed	04/01/20	J		
108. NB186 FISERV INC NOTE CALL MAKE WHOLE 2.70000% 6/1/20	A	Interest			Redeemed	06/01/20	J		
109. NB186 MORGAN STANLEY MTN 2.80000% 6/16/20	A	Interest			Redeemed	06/16/20	J		
110. NB186 CHUBB INA HLDGS INC 2.3% 11/3/20	A	Interest			Sold	08/07/20	J	A	
111. NB186 LOCKHEED MARTIN CORP 2.5% 11/23/20	A	Interest			Redeemed (part)	06/16/20	J		
112.					Sold	08/07/20	J	A	
113. NB186 ANALOG DEVICES INC NOTE CALL MAKE WHOLE 2.95000% 1/12/21	A	Interest			Sold	08/07/20	J	A	
114. NB186 PIONEER NAT RES CO NOTE CALL MAKE WHOLE 3.45000% 1/15/21	A	Interest			Sold	06/04/20	J	A	
115. NB186 VULCAN MATLS CO NOTE 2.55688% 3/1/21	A	Interest			Sold	08/07/20	J	A	
116. NB186 MARRIOTT INTL INC NOTE 2.53500% 3/8/21	A	Interest			Sold	08/07/20	J	A	
117. NB186 WELLS FARGO CO MTN BE 4.60000% 4/1/21	A	Interest			Sold	08/07/20	J	A	
118. NB186 TOTAL CAPITAL INTERNATIONAL S.A. 2.218% 7/12/21	A	Interest			Sold	08/07/20	J	A	

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

04/30/2021

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)
119. NB186 ZOETIS INC NOTE CALL MAKE WHOLE 2.33850% 8/20/21	A	Interest			Sold	08/07/20	J	A	
120. NB186 CANADIAN NATURAL RESOURCES LTD NOTE 3.45000% 11/15/21	A	Interest			Sold	08/07/20	J	A	
121. NB186 MOODYS CORP NOTE CALL MAKE WHOLE 2.75000% 12/15/21	A	Interest			Sold	08/07/20	J	A	
122. NB186 JPMORGAN CHASE & CO NOTE 4.50000% 1/24/22	A	Interest			Sold	08/07/20	J	A	
123. NB186 WEC ENERGY GROUP INC NOTE CALL MAKE WHOLE 3.1000% 3/8/22	A	Interest			Sold	08/07/20	J	A	
124. NB186 WESTERN UN CO NOTE CALL MAKE WHOLE 3.60000% 3/15/22	A	Interest			Sold	08/07/20	J	A	
125. NB186 AMERIPRISE FINL INC NOTE CALL MAKE WHOLE 3.00000% 3/22/22	A	Interest			Sold	08/07/20	J	A	
126. NB186 BANK OF MONTREAL MTN 2.90000% 3/26/22	A	Interest			Sold	08/07/20	J	A	
127. NB186 TOYOTA MOTOR CREDIT CORP MTN 2.65000% 4/12/22	A	Interest			Sold	08/07/20	J	A	
128. NB186 BOEING CO NOTE CALL MAKE WHOLE 2.70000% 5/1/22	A	Interest			Sold	08/07/20	J	A	
129. NB186 MOTOROLA SOLUTIONS INC 3.75000% 5/15/22	A	Interest			Sold	08/07/20	J	A	
130. NB186 GLAXOSMITHKLINE CAP PLC NOT 2.87500% 6/1/22	A	Interest			Sold	08/07/20	J	A	
131. NB186 RYDER SYS MTN BE CALL MAKE WHOLE 2.87500% 6/1/22	A	Interest			Sold	08/07/20	J	A	
132. NB186 TRUIST FINL CORP SER G 3.05% 6/20/22	A	Interest			Sold	08/07/20	J	A	
133. NB186 CHURCH & DWIGHT INC NOTE CALL MAKE WHOLE 2.45000% 8/1/22	A	Interest			Sold	08/07/20	J	A	
134. NB186 DTE ENERGY CO NOTE CALL MAKE WHOLE 2.25000% 11/1/22	A	Interest			Sold	08/07/20	J	A	

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

04/30/2021

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)
135. NB186 DH EUROPE FIN II S A R L NOTE 2.05000% 11/15/22	A	Interest			Sold	08/07/20	J	A	
136. NB186 BK AMER CORP MTN 3.30000% 1/11/23	A	Interest			Sold	08/07/20	J	A	
137. NB186 GOLDMAN SACHS GROUP INC 3.625% 1/22/23	A	Interest			Sold	08/07/20	J	A	
138. NB186 BANK OF NY MELLON CORP 1.85% 1/27/2023	A	Interest			Buy	01/28/20	J		
139.					Sold	08/07/20	J	A	
140. NB186 EATON VANCE CORP NOTE CALL MAKE WHOLE 3.62500% 6/15/23	A	Interest			Sold	08/07/20	J	A	
141. NB186 CIGNA CORP NEW 3.75% 7/15/2023	A	Interest			Buy	01/06/20	J		
142.					Sold	08/07/20	J	A	
143. NB186 COMERICA INC NOTE 3.70000% 7/31/23	A	Interest			Sold	08/07/20	J	A	
144. NB186 ASTRAZENECA NOTE CALL MAKE WHOLE 3.50000% 8/17/23	A	Interest			Sold	08/07/20	J	A	
145. NB186 ROPER TECHNOLOGIES INC NOTE 3.65000% 9/15/23	A	Interest			Sold	08/07/20	J	A	
146. NB186 TRANSCANADA PIPELINES LTD NOTE 3.75000% 10/16/23	A	Interest			Sold	08/07/20	J	A	
147. NB186 GENERAL MLS INC NOTE 3.7% 10/17/23	A	Interest			Buy	06/12/20	J		
148.					Sold	08/07/20	J	A	
149. NB186 SHELL INTL.FIN.BV NOTE CALL MAKE WHOLE 3.50000% 11/13/23	A	Interest			Sold	08/07/20	J	A	
150. NB186 PNC FINL SVCS GROUP INC NOTE 3.50000% 1/23/24	A	Interest			Sold	08/07/20	J	A	
151. NB186 BUNGE LTD FIN CORP NOTE CALL MAKE WHOLE 4.35000% 3/15/24	A	Interest			Sold	08/07/20	J	A	

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

04/30/2021

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)
152. NB186 MCKESSON CORP NEW 3.796% 3/15/2024	A	Interest			Buy	02/20/20	J		
153.					Sold	08/07/20	J	A	
154. NB186 AT&T INC NOTE CALL MAKE WHOLE 4.45000% 4/1/24	A	Interest			Sold	08/07/20	J	A	
155. NB186 COMCAST CORP NEW NOTE CALL MAKE WHOLE 3.70000% 4/15/24	A	Interest			Sold	08/07/20	J	A	
156. NB186 KINDER MORGAN ENERGY PARTNERS 4.3% 5/1/2024	A	Interest			Buy	03/02/20	J		
157.					Sold	08/07/20	J	A	
158. NB186 CITIGROUP INC NOTE CALL MAKE WHOLE 4.04400% 6/1/24	A	Interest			Sold	08/07/20	J	A	
159. NB186 NASDAQ INC NOTE CALL MAKE WHOLE 4.25000% 6/1/24	A	Interest			Sold	08/07/20	J	A	
160. NB186 WASTE MGMT INC DEL NOTE 2.95% 6/15/24	A	Interest			Buy	06/12/20	J		
161.					Sold	07/20/20	J	A	
162. NB186 MEDTRONIC INC NOTE CALL MAKE WHOLE 3.50000% 3/15/25	A	Interest			Sold	08/07/20	J	A	
163. NB186 ABBVIE INC 3.6% 5/14/25	A	Interest			Buy	07/24/20	J		
164.					Sold	08/07/20	J	A	
165. NB186 NORFOLK SOUTHERN CORP 3.65% 8/1/2025	A	Interest			Buy	02/11/20	J		
166.					Sold	08/07/20	J	A	
167. NB186 FREEPORT-MCMORAN INC NOTE CALL MAKE WHOLE 3.55000% 3/1/22	A	Interest			Sold	08/07/20	J	A	

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

04/30/2021

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)
168. NB186 BALL CORP NOTE CALL MAKE WHOLE 5.00000% 3/15/22	A	Interest			Sold	08/07/20	J	A	
169. NB186 OCCIDENTAL PETE CORP 2.6% 4/15/22	A	Interest			Sold	08/07/20	J	A	
170. NB186 ANIXTER INC NOTE CALL MAKE WHOLE 5.50000% 3/1/23	A	Interest			Sold (part)	05/18/20	J	A	
171.					Sold	08/07/20	J	A	
172. NB186 TOLL BROS FIN CORP NOTE CALL MAKE WHOLE 4.37500% 4/15/23	A	Interest			Sold	08/07/20	J	A	
173. NB186 AMERIGAS PARTNERS L P NOTE 5.62500% 5/20/24	A	Interest			Sold	08/07/20	J	A	
174. NB186 UNITED RENTALS NORTH AMER INC 5.875% 9/15/26	A	Interest			Buy	02/14/20	J		
175.					Sold	08/07/20	J	A	
176. NB186 US TREAS BILLS ZERO CPN 0.0% 2/18/21	A	Interest	L	T	Buy	08/24/20	L		
177. NB186 US TREAS NTS NOTE 2.50000% 2/28/21	A	Interest	J	T	Sold (part)	02/19/20	J		
178.					Sold (part)	02/28/20	J		
179. NB186 US TREAS BILLS ZERO CPN 0.0% 8/12/21	A	Interest	L	T	Buy	08/24/20	L		
180. NB186 VANGUARD SHORT TERM CORP BD INDEX ADMRL	B	Interest	M	T	Buy	11/25/20	L		
181. NBF186 SPDR S&P500 ETF TRUST	D	Dividend	O	T	Buy	08/17/20	N		
182.					Buy (add'l)	09/04/20	M		
183.					Buy (add'l)	11/27/20	L		
184. NB435 DRYFUS GOVERNMENT CASH MGMT ADMIN	A	Dividend	N	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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Name of Person Reporting

Sack, Robert D.

Date of Report

04/30/2021

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)
185. NB435 ACCENTURE PLC	A	Dividend			Buy	04/07/20	J		
186.					Sold	05/29/20	J	A	
187. NB435 ALIBABA GROUP HOLDING LTD	A	Dividend			Buy	03/03/20	J		
188.					Sold	05/20/20	J	A	
189. NB435 ALPHABET INC CAP STK CL C	A	Dividend	L	T					
190. NB435 AMAZON.COM INC	A	Dividend	L	T					
191. NB435 AMEREN CORP COM	A	Dividend			Sold	05/20/20	K	A	
192. NB435 BOEING CO COM	A	Dividend			Buy (add'l)	03/10/20	J		
193.					Sold	03/20/20	J	A	
194. NB435 CDW CORP COM	A	Dividend	K	T					
195. NB435 CISCO SYS INC COM	A	Dividend			Sold	05/20/20	K	A	
196. NB435 CME GROUP INC COM	A	Dividend			Buy (add'l)	05/20/20	J		
197.					Sold	08/07/20	K	A	
198. NB435 CSX CORP COM USD1	A	Dividend			Sold	05/20/20	K	A	
199. NB435 DANAHER CORPORATION COM	A	Dividend	L	T	Buy (add'l)	05/20/20	J		
200.					Buy (add'l)	05/29/20	J		
201. NB435 DISNEY WALT CO	A	Dividend			Sold	03/02/20	K	A	

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

04/30/2021

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. NB435 EXACT SCIENCES CORP	A	Dividend			Sold	05/29/20	J	A	
203. NB435 ECOLAB INC	A	Dividend	K	T	Buy	07/31/20	K		
204.					Buy (add'l)	08/07/20	J		
205. NB435 FIDELITY NATL INFORMATION SERVICES COM	A	Dividend	K	T					
206. NB435 HOME DEPOT INC COM	B	Dividend	L	T					
207. NB435 INTUIT COM	A	Dividend			Buy (add'l)	05/20/20	J		
208.					Sold	08/07/20	K	A	
209. NB435 JPMORGAN CHASE & CO COM	A	Dividend			Buy	05/20/20	K		
210.					Buy (add'l)	05/29/20	J		
211.					Sold	08/07/20	K	A	
212. NB435 MARRIOTT INTERNATIONAL INC COM	A	Dividend			Sold	03/20/20	J	A	
213. NB435 MCDONALDS CORP	A	Dividend			Buy (add'l)	05/29/20	K		
214.					Sold	08/07/20	L	A	
215. NB435 MEDTRONIC PLC	A	Dividend			Buy	03/04/20	K		
216.					Sold	08/07/20	K	A	
217. NB435 MICROSOFT CORP	A	Dividend	L	T					
218. NB435 MOTOROLA SOLUTIONS INC COM NEW	A	Dividend	K	T	Buy (add'l)	05/20/20	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.

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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)
219. NB435 NEXTERA ENERGY INC COM USD0.01	A	Dividend	L	T	Buy (add'l)	05/20/20	J		
220. NB435 NEXTERA ENERGY PARTNERS LP COM UNIT PART	A	Distribution			Buy (add'l)	05/20/20	J		
221.					Sold	08/07/20	K	A	
222. NB435 NORFOLK SOUTHERN CORP COM USD1	A	Dividend			Buy (add'l)	05/20/20	J		
223.					Sold	08/07/20	K	A	
224. NB435 OMNICOM GROUP INC	A	Dividend			Buy	06/15/20	J		
225.					Sold	08/07/20	J	A	
226. NB435 PHILLIPS 66	A	Dividend			Buy	06/23/20	J		
227.					Sold	08/07/20	J	A	
228. NB435 RAYTHEON TECHNOLOGIES CORP COM	A	Dividend	J	T	Buy	11/18/20	J		
229. NB435 ROPER TECHNOLOGIES	A	Dividend			Sold	08/07/20	K	A	
230. NB435 TJX COS	A	Dividend	K	T	Buy	06/15/20	K		
231.					Buy (add'l)	08/07/20	J		
232. NB435 ZEBRA TECHNOLOGIES CORP CL A	A	Dividend			Buy (add'l)	05/29/20	J		
233.					Sold	08/07/20	J	A	
234. NB435 VULCAN MATLS CO NOTE 2.49363% 6/15/20	A	Interest			Redeemed	06/15/20	J		
235. NB435 KRAFT HEINZ FOODS CO NOTE 2.47138% 2/10/21	A	Interest			Sold	05/20/20	J	A	

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

04/30/2021

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)
236. NB435 MARRIOTT INTL INC NOTE 2.53500% 3/8/21	A	Interest			Sold	08/07/20	J	A	
237. NB435 UNITED PARCEL SERVICE INC NOTE 2.24863% 4/1/21	A	Interest			Sold	08/07/20	J	A	
238. NB435 GLAXOSMITHKLINE CAPITAL PLC NOTE 0.0% 5/14/21	A	Interest			Sold	08/07/20	J	A	
239. NB435 ZOETIS INC NOTE CALL MAKE WHOLE 2.33850% 8/20/21	A	Interest			Sold	08/07/20	J	A	
240. NB435 NEXTERA ENERGY CAP HLDGS INC BOND 2.9% 4/1/22	A	Interest			Sold	08/07/20	J	A	
241. NB435 GOLDMAN SACHS GROUP INC MTN 4.0% 3/3/24	A	Interest			Sold	08/07/20	J	A	
242. NB435 MARATHON OIL CORP NOTE CALL MAKE WHOLE 3.85% 6/1/25	A	Interest			Sold	08/07/20	J	A	
243. NB435 DOWDUPONT INC NOTE CALL MAKE WHOLE 4.49300% 11/15/25	A	Interest			Sold	08/07/20	J	A	
244. NB435 VIACOMCBS CORP NEW NOTE CALL MAKE WHOLE 4.0% 1/15/26	A	Interest			Sold	08/07/20	J	A	
245. NB435 RAYMOND JAMES FINL INC 3.625% 9/15/26	A	Interest			Buy	01/13/20	J		
246.					Sold	08/07/20	J	A	
247. NB435 CITIGROUP INC NOTE 4.45% 9/29/27	A	Interest			Sold	08/07/20	J	A	
248. NB435 BALL CORP NOTE CALL MAKE WHOLE 5.0% 3/15/22	A	Interest			Sold	08/07/20	J	A	
249. NB435 ANIXTER INC NOTE CALL MAKE WHOLE 5.5% 3/1/23	A	Interest			Sold (part)	05/18/20	J	A	
250.					Sold	08/07/20	J	A	
251. NB435 TOLL BROS FIN CORP NOTE CALL MAKE WHOLE 4.375% 4/15/23	A	Interest			Sold	08/07/20	J	A	
252. NB435 AMERIGAS PARTNERS L P NOTE 5.625% 5/20/24	A	Interest			Sold	08/07/20	J	A	

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

04/30/2021

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)
253. NB435 MURPHY OIL CORP NOTE CALL MAKE WHOLE 6.875% 8/15/24	A	Interest			Sold	08/07/20	J	A	
254. NB435 ARCELORMITTAL SA LUXEMBOURG NOTE 4.55% 3/11/26	A	Interest			Sold	08/07/20	J	A	
255. NB435 APACHE CORP NOTE CALL MAKE WHOLE 4.375% 10/15/28	A	Interest			Sold	08/07/20	J	A	
256. NB435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/20 (649905XC5)	A	Interest			Redeemed	07/01/20	J		
257. NB435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/20 (649906TR5)	A	Interest			Redeemed	07/01/20	J		
258. NB435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/21	A	Interest	K	T					
259. NB435 WESTCHESTER CNTY N Y GO REF BDS SER. 3.0% 10/15/22	A	Interest	K	T					
260. NB435 BATTERY PK CITY AUTH N Y REV SENIOR REV 5.0% 11/1/21	A	Interest	K	T					
261. NB435 NEW YORK NY CITY TRANSITIONAL FIN 5.0% 11/1/21	A	Interest	K	T					
262. NB435 METROPOLITAN TRANSN AUTH N Y REV REV 5.0% 11/15/21	A	Interest	K	T					
263. NB435 NEW YORK ST DORM AUTH REVS NON ST 5.0% 7/1/22	A	Interest	K	T					
264. NB435 NEW YORK ST URBAN DEV CORP REV ST PERS 5.0% 3/15/23	A	Interest	K	T					
265. NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 5/1/23	A	Interest	K	T					
266. NB435 NEW YORK N Y CITY TRANSITONAL FIN 5.0% 7/15/23	A	Interest	K	T					
267. NB435 NEW YORK N Y CITY INDL DEV AGY SPL FAC 5.0% 5/1/24	A	Interest	K	T					
268. NB435 NEW YORK N Y GO BDS SER. 2019 E 5.0% 8/1/24	A	Interest	K	T					
269. NB435 METROPOLITAN TRANSN AUTH N Y DEDICATED 5.0% 11/15/24	A	Interest	K	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)
270. NB435 CONNECTICUT ST GO BDS SER. 2019 A 5.0% 4/15/27	A	Interest	K	T					
271. NB435 TRIBOROUGH BRDG & TUNL AUTH NY 4.0% 11/15/37	A	Interest	K	T	Buy	10/01/20	K		
272. NB435 NEW YORK N Y CITY TRANSITIONAL FIN 5.0% 11/1/39	A	Interest	K	T					
273. NB435 INVESCO EXCHNG TRADED FD TR II S&P 500	B	Dividend			Sold	05/29/20	L	A	
274. NB435 SPDR S&P500 ETF TRUST	A	Dividend	N	T	Buy	08/17/20	M		
275.					Buy (add'l)	09/04/20	M		
276. NB435 EVENTIDE GILEAD FUND CLASS I	B	Distribution	L	T					
277. NB435 FIDELITY ADVISOR NEW INSIGHTS CL I	D	Distribution	M	T					
278. NB435 HARTFORD CORE EQUITY FUND CLASS I	B	Distribution			Sold	05/19/20	L	A	

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

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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.

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Name of Person Reporting

Sack, Robert D.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544