

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 01/15/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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. Director	William F. Kerby and Robert S. Potter Fund
2. Lecturer in Law	Columbia Law School
3. Member, Columbia Board of Visitors	Columbia Law School
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 9/3/98	Practising Law Institute and Robert D. Sack, publication of 3rd edition of treatise on defamation law; royalty 15% of net receipts
2. 1998	Gibson, Dunn & Crutcher LLP Retirement Agreement, Gibson Dunn & Crutcher LLP and Robert D. Sack; Terms: \$6,000 per month/life, no increase, decrease or cap
3. 2010	Practising Law Institute and Robert D. Sack, publication of 4th edition of treatise on defamation law; royalty 15% of net receipts

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Practising Law Institute Book Royalties	\$14,824.00
2. 2013	Gibson, Dunn & Crutcher LLP Retirement Plan	\$72,000.00
3. 2013	Lecturer in Law, Columbia Law School	\$15,000.00
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	Thomson Reuters Royalties (formerly West Services Inc.)
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American College of Trial Lawyers	2/28/2013-3/1/2013	Naples, FL	Guest Lecturer	Travel, Hotel and Meals
2. University of Pennsylvania Law School	3/20/2013	Philadelphia, PA	Guest Lecturer	Travel and Meals
3. University of Chicago Law School	4/2/2013-4/4/2013	Chicago, IL	Guest Lecturer	Travel, Hotel and Meals
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 Aadvantage	Credit Card	J
2.	Citibank Aadvantage	Credit Card	J
3.	Chase Visa	Credit Card	J
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. Oppenheimer Advantage Municipal Liquidity Fund	A	Dividend	L	T					
3. Opp Boeing Co. Common Stock	A	Dividend	K	T					
4. Opp Rochester AMT-Free NY NUMI Fund CL A	C	Dividend			Sold	09/03/13	L		
5. Opp Blackrock NY Muni Inc Qlty TR Tax Free Com	B	Interest			Sold	12/13/13	K		
6. Opp Invesco Invst Grade NY Muns Tax Free Com	A	Interest	J	T					
7. MAINSTAY DEFINED TERM MN OPP FD TAX FREE COM	A	Dividend	K	T	Buy	12/18/13	K		
8. NUVEEN INTER DURATION MN TMFD TAX FREE COM	A	Dividend	K	T	Buy	12/18/13	K		
9. Opp New York NY City Mun Wtr Fin NY 3.625% Due 6/15/25	A	Interest	K	T					
10. Northwestern Mutual Life Insurance Policy	C	Dividend	L	T					
11. Guardian Life Insurance Policy	C	Dividend	L	T					
12. Massachusetts Mutual Life Insurance Policy	A	Interest	J	T					
13. Morgan Stanley Money Market Fund	A	Dividend	K	T					
14. Morgan Stanley LIPA 5.60 Zero Coupon Bond due 6/1/14	A	Interest	K	T					
15. MS NYS Power Auth Rev Ref Ser-C 4% due 11/15/20	B	Interest	K	T					
16. MS New York Genl Oblig Ref Ser-C due 4/15/13	A	Interest			Matured	04/15/13	K		
17. MS NYC Genl Oblig Ser-I 4% Due 2/1/22	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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18. MS FOCUS GROWTH FD A	A	Interest	J	T					
19. MSIF Small Co Growth A (formerly PTF H)	A	Dividend	K	T					
20. MS FRANKLIN NY TX FR A	B	Dividend	K	T					
21. MS Invesco Gobal Core Equity A	A	Dividend	J	T					
22. MS Invesco Small Cap Value A	A	Dividend	K	T					
23. MS OPPENHEIMER AMT-FREE NY MUN A	D	Dividend	M	T					
24. JPMorgan Federal Money Market Fund - Morgan	A	Dividend	K	T					
25. AMERIPRISE INSURED MONEY MARKET ACCTS	A	Int./Div.	J	T					
26. ADV-BLACKROCK INFLATION PROTECTED BOND INVESTOR CL A	A	Dividend			Sold	06/03/13	L	A	
27. ADV-BLACKROCK EQUITY DIVIDEND CL A	C	Dividend	M	T	Buy (add'l)	06/03/13	L		
28. ADV-COLUMBIA DIVIDEND OPPORTUNITY CL A	C	Dividend	L	T					
29. ADV-COLUMBIA INCOME OPP CL A	C	Dividend	L	T					
30. ADV-EATON VANCE AMT FREE MUNICIPAL	C	Dividend	L	T					
31. ADV-FIDELITY ADVISOR FLOATING RATE HIGH INC CL A	B	Dividend	L	T					
32. ADV-GOLDMAN SACHS HIGH YIELD MUNICIPAL CL A	C	Dividend			Sold	05/31/13	M	A	
33. ADV-OPPENHEIMER AMT FREE NY MUNICIPAL CL A	D	Dividend	L	T					
34. ADV-PIONEER AMT FREE MUNICIPAL CL A	C	Dividend	L	T					

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35. ADV-TAX EXEMPT BOND AMERICA CL A	C	Dividend	L	T					
36. ADV-VIRTUS TAX EXEMPT BONC CL A	B	Dividend	L	T					
37. ONE-INVESCO MUNICIPAL INCOME CL A (PKA INV VK MUNI INC)	B	Dividend	K	T					
38. ONE-BLACKROCK EQUITY DIVIDEND CL A	B	Dividend	M	T	Sold (part)	05/16/13	K	C	
39. ONE-BLACKROCK FLOATING RATE INCOME INVESTOR CL A	A	Dividend	L	T	Buy	08/05/13	L		
40. ONE-COLUMBIA DIVIDEND OPPORTUNITY CL A	B	Dividend	K	T					
41. ONE-EATON VANCE FLTG RATE & HIGH INCOME CL A	C	Dividend	M	T	Buy	08/05/13	M		
42. ONE-EATON VANCE AMT FREE MUNICIPAL INCOME CL A	B	Dividend			Sold	06/27/13	L	A	
43. ONE-FIDELITY ADVISOR NEW INSIGHTS CL A		None	L	T	Sold (part)	05/16/13	K	C	
44. ONE-GABELLI EQUITY INCOME CL A	C	Dividend	M	T	Sold (part)	02/25/13	J	C	
45.					Sold (part)	05/17/13	K	D	
46. ONE-IVY ASSET STRATEGY CL A		None			Sold	06/27/13	L	E	
47. ONE-MFS MUNICIPAL LIMITED MATURITY CL A	B	Dividend	L	T					
48. ONE-OPPENHEIMER INTL BOND CL A	B	Dividend			Sold	07/30/13	L	E	
49. ONE-OPPENHEIMER GOLD & SPECIAL MINERALS CL A		None			Sold (part)	06/27/13	J		
50.					Sold	07/30/13	K		
51. ONE-OPPENHEIMER SENIOR FLOATING RATE CL A	A	Dividend	L	T	Buy	08/06/13	L		

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52. ONE-OPPENHEIMER ROCHESTER LTD TERM MUN CL A	C	Dividend	L	T					
53. ONE-OPPENHEIMER DEVELOPING MARKETS CL A		None			Sold	06/27/13	K	E	
54. ONE-PERMANENT PORTFOLIO	A	Dividend	L	T					
55. ONE-ROCHESTER LTD TERM NY MUNI CL A	B	Dividend	L	T					
56. ONE-TAX EXEMPT BOND AMERICA CL A	C	Dividend	L	T					
57. ONE-VAN ECK GLOBAL HARD ASSETS CL A		None			Sold	07/30/13	K	A	
58. ONE-BLACKROCK MUNIHOLDINGS NY QUALITY FUND INC	C	Dividend			Sold	07/30/13	L	B	
59. ONE-NUVEEN NEW YORK INVESTMENT QUALITY MUNICIPAL FUND	A	Dividend			Merged (with line 60)	03/12/13	L		
60. ONE-NUVEEN NY AMT FREE MUNICIPAL INCOME FUND	B	Dividend			Sold	07/30/13	L	A	
61. AFI Flexible Savings Certificate	A	Interest	M	T	Open	08/28/13	M		
62. AFI Flexible Savings Certificate	A	Interest	O	T	Open	08/28/13	M		
63. RiverSource Retirement Advisor 4 Advantage VA-Annuity	F	Dividend	O	T					
64. Ameriprise IRA (AH)	G	Int./Div.	O	T					
65. -Columbus Circle LCG, IRA (X)									
66. -Lazard IA, IRA (X)					Buy (add'l)	06/03/13	J		
67. -Alta LCC, IRA (X)					Buy (add'l)	06/14/13	L		

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68. -Munder MCC IRA					Buy (add'l)	01/14/13	L		
69. -Flexible Savings Certificate, IRA					Open	08/20/13	M		
70. - Fred Alger Large Cap Growth IRA (Y)									
71. - Franklin Intermediate Fixed Income IRA					Sold (part)	06/03/13	J		
72.					Sold	06/14/13	M		
73. - Spectrum Hybrid Preferred IRA					Sold	07/12/13	M		
74. - Renaissance International Equity IRA (Y)									
75. - Alliancebernstein Large Cap Core IRA (Y)									

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

A pending claim against Worldcom is currently in litigation (02 Civ. 3288 (DLC)). The worth of that claim cannot be determined at this time.

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

Regarding line 65 which was merged with line 70, line 66 which was merged with line 74, and line 67 which was merged with line 75, Ameriprise Managed Accounts Division provides the following explanation for those corporate changes: Ameriprise Managed Accounts Division researches all the portfolio managers on its platform, and if someone is not performing to their expectations, they may be dropped from the platform, or, they may choose to no longer work on the platform for personal reasons. Ameriprise Managed Accounts Division then searches for a manager, or assigns an existing manager, whose strategy overlaps as much as possible the departing manager's strategy. This is done to minimize the turnover in the account. During 2013, this happened with 3 portfolios: Fred Alger (line 70), Renaissance International (line 74), and Alliancebernstein (line 75). Lines 65, 66, and 67 reflect the names of the new managers of funds listed on lines 70, 74 and 75.

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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