

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

| | | |
|---|--|--|
| 1. Person Reporting (last name, first, middle initial) Sotomayor, Sonia | 2. Court or Organization Supreme Court of the United States | 3. Date of Report 5/10/2019 |
| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Associate Justice | 5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | 6. Reporting Period 01/01/2018 to 12/31/2018 |
| 5b. <input type="checkbox"/> Amended Report | | |

7. Chambers or Office Address

1 First Street, NE
Washington, DC 20543

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. | Governing Director | iCivics |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

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

NONE *(No reportable agreements.)*

| | <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|----|-------------|--------------------------|
| 1. | | |
| 2. | | |
| 3. | | |

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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. 2/8/2018 | Penguin Random House LLC | \$12,500.00 |
| 2. 7/16/2018 | Penguin Random House LLC | \$500.00 |
| 3. 10/8/2018 | Penguin Random House LLC | \$10,000.00 |
| 4. 11/5/2018 | Penguin Random House LLC | \$10,000.00 |
| 5. 4/13/2018 | The Diller-von Furstenberg Family Foundation (Donation) | \$2,000.00 |

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. | |
| 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. | Lawforwa.org (Council on Public Legal Education) | 1/22-23/2018 | Seattle, WA | Participation in Civic Learning Initiative Conference | Transportation, Lodging and Meals |
| 2. | Emory University School of Law | 2/5-6/2018 | Atlanta, GA | Participation in question and answer session with law school students | Transportation, Lodging and Meals |
| 3. | Brown University | 2/6-7/2018 | Providence, RI | Participation in question and answer session with students | Transportation, Lodging and Meals |

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|--|------------------------------------|
| Name of Person Reporting Sotomayor, Sonia | Date of Report 5/10/2019 |
|--|------------------------------------|

| | | | | | |
|-----|--|---------------|------------------|---|-----------------------------------|
| 4. | National Association of Student Personnel Administration | 3/5-6/ 2018 | Philadelphia, PA | Participation in a question and answer session with conference participants | Lodging |
| 5. | New York University School of Law | 3/6/2018 | New York, NY | Address at convocation honoring Judge Robert A. Katzmann | Transportation and Meals |
| 6. | Vanderbilt University Law School | 4/2-3/2018 | Nashville, TN | Participation in question and answer session with students | Transportation, Lodging and Meals |
| 7. | New York University School of Law Guarini Institute for Global Legal Studies | 4/6/2018 | New York, NY | Conversation with retired South Africa Constitutional Court Judge Albie Sachs | Transportation and Meals |
| 8. | Yale University School of Law | 9/13-14/2018 | New Haven, CT | Participation in Global Constitutionalism Seminar | Transportation, Lodging and Meals |
| 9. | Princeton University | 10/5/2018 | Princeton, NJ | Speech | Transportation |
| 10. | American Academy of Arts and Sciences | 10/6-7/2018 | Cambridge, MA | Induction as a member | Transportation, Lodging and Meals |
| 11. | Cornell University School of Law | 10/18-19/2018 | Ithaca, NY | Judged Moot Court Competition | Transportation, Lodging and Meals |
| 12. | Harvard University Law School | 11/13-14/2018 | Cambridge, MA | Judged Moot Court Competition | Transportation, Lodging and Meals |
| 13. | Duquesne University Law School | 12/7/2018 | Pittsburgh, PA | Accepted Carol Mansmann Award for Distinguished Public Service | Transportation and Meals |

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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. | JP Morgan Chase, NA | Mortgage on Rental Property #1, New York, New York (Pt. VII, Line 6) | N |
| 2. | | | |
| 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. Citibank, N.A. Accounts | A | Interest | M | T | | | | | |
| 2. Morgan Stanley Bank, NA (H) | A | Interest | J | T | | | | | |
| 3. Morgan Stanley Bank, NA (IRA) (H) | A | Interest | K | T | | | | | |
| 4. Blackrock GLB Allocation FD Class A (IRA) | A | Dividend | L | T | | | | | |
| 5. Pimco Unconstrained BDA (IRA) | B | Dividend | L | T | | | | | |
| 6. Rental Property #1, New York, NY Appraised 2012 | E | Rent | P1 | Q | | | | | |
| 7. Ishares Core MSCI EAFE ETF | B | Dividend | L | T | | | | | |
| 8. Ishares Core MSCI Emerging | A | Dividend | K | T | | | | | |
| 9. Ishares IBOXX \$ H/Y COR BD ETF | A | Dividend | | | Sold | 01/12/18 | K | A | |
| 10. Ishares Russell 1000 GRW ETF | A | Dividend | K | T | | | | | |
| 11. Ishares Russell 1000 Value ETF | A | Dividend | K | T | | | | | |
| 12. Ishares Russell 2000 GRWTH ETF | A | Dividend | | | Sold | 07/27/18 | J | A | |
| 13. Ishares Russell 2000 Value ETF | A | Dividend | | | Sold | 07/27/18 | J | A | |
| 14. Ishares Russell MIDCAP G ETF | A | Dividend | J | T | | | | | |
| 15. Ishares Russell MIDCAP V ETF | A | Dividend | J | T | | | | | |
| 16. Ishares Tips Bond ETF | A | Dividend | J | T | | | | | |
| 17. PIMCO Enhanced SHRT MTRT EXC | B | Dividend | L | T | | | | | |

| | | | | | |
|--|---|--|---|--|-------------------------|
| 1. Income Gain Codes: (See Columns B1 and D4) | A = \$1,000 or less F = \$50,001 - \$100,000 | B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 | C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 | D = \$5,001 - \$15,000 H2 = More than \$5,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes (See Columns C1 and D3) | J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 | L = \$50,001 - \$100,000 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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| 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. SPDR Nuveen BBG Bar SHRT Term | B | Dividend | L | T | | | | | |
| 19. SPDR Nuveen BBG Barclays MUN B | B | Dividend | L | T | | | | | |
| 20. Wisdomtree Trust JAPN Hedge EQ | A | Dividend | | | Sold | 01/12/18 | J | A | |
| 21. Ishares Inc MSCI Japan (ETF) | A | Dividend | J | T | Buy | 01/12/18 | 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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III - A - Items 1, 2, 3 and 4 - Publisher's advances against royalties for two books. Dates provided are dates of checks forwarded by literary agent in amounts net of agent's commissions. I have been advised by Penguin Random House, LLC, publisher of the two books, Turning Pages and The Beloved World of Sonia Sotomayor that it disbursed \$20,052 during 2018 to promote the sale of the books. Those disbursements included the payment of expenses to third parties (e.g. transportation and lodging) in support of appearances I made in various locations in the United States. I visited Michigan State University in August, 2018 and State University of New York at Stony Brook in October, 2018, and participated in question and answer events with students at both universities. Both are public institutions. Both universities purchased copies of my memoir, My Beloved World, which were read as part of their freshman orientation programs.

Part III - A - Item 5 - Donation of \$2,000 was made on my behalf to a qualified charitable organization in lieu of an honorarium, pursuant to Section 1020.30(c) of the Judicial Conference Regulations.

Part IV - Item 1 - In conjunction with this event, I participated in events sponsored by the University of Texas - San Antonio and the University of Houston Law School. Both universities are public institutions. The cost of transportation was shared by the sponsor of the event and the two universities.

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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/ Sonia Sotomayor*

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