

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2019**

<b>1. Person Reporting (last name, first, middle initial)</b> Sotomayor, Sonia	<b>2. Court or Organization</b> Supreme Court of the United States	<b>3. Date of Report</b> 6/1/2020
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> Associate Justice	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b> 01/01/2019 to 12/31/2019
	<b>5b.</b> <input checked="" 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. 2/8/2019	Society of Children's Book Writers and Illustrators, a not for profit organization (Donation)	\$2,000.00
2. 4/30/2019	Neighbors Club of Arlington, a not for profit organization (Donation)	\$2,000.00
3. 5/16/2019	Penguin Random House, LLC (book royalties)	\$10,947.53
4. 11/20/2019	Penguin Random House, LLC (book royalties)	\$10,586.11

**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. Supreme Court Historical Society	1/21-1/24/2019	San Juan & Humacao, Puerto Rico	Participation in panel with women judges in Puerto Rico and Q&A with college students	Lodging and Meals
2. Penguin Random House, LLC	1/21-1/24/2019	San Juan & Humacao, Puerto Rico	Participation in book events including the events in Item 1	Transportation
3. Manhattan College	5/16-5/19/2019	New York, NY	Commencement Speech	Transportation and Meals
4. Penguin Random House, LLC	5/30-5/31/2019	New York, NY	Participation in New York Book Expo	Transportation

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5.	Penguin Random House, LLC	6/8-6/9/2019	New York, NY	Participation in Bronx Book Festival	Transportation
6.	Office of the District Attorney, New York County	6/17-6/18/2019	New York, NY	Remarks at birthday celebration for Robert Morgenthau	Transportation and Meal
7.	New York University	7/3-7/19/2019	Lisbon, Portugal	Participation in New York University Law Leadership Conference	Transportation, Lodging and Meals
8.	Mississippi Book Festival	8/14-8/17/2019	Jackson, Mississippi	Attended events at MS Book Festival and met with Federal judges and law clerks	Transportation, Lodging and Meals
9.	Penguin Random House, LLC	8/31-9/1/2019	Decatur, GA	Participation in Atlanta Journal Constitution Decatur Book Festival	Transportation, Lodging and Meals
10.	Penguin Random House, LLC	9/4-9/9/2019	Cincinnati, OH; Los Angeles, CA; Oakland, CA; Portland, OR; and Albuquerque, NM	Participation in various book related events	Transportation, Lodging and Meals
11.	Penguin Random House, LLC	9/11-9/12/2019	Chicago, IL	Conversation with students sponsored by Women and Children First Bookstore	Transportation, Lodging and Meals
12.	Tufts University	9/12-9/13/2019	Boston, MA	Participation in question and answer session with students	Transportation, Lodging and Meals
13.	Women's National Hall of Fame	9/13-9/17/2019	Seneca Falls, NY	Attendance at installation as a member	Transportation, Lodging and Meals
14.	Penguin Random House, LLC	9/13-9/17/2019	Seneca Falls, NY	Participation in book event including Women's National Hall of Fame	Transportation
15.	Yale University	10/18 - 10/20/2019	New Haven, CT	Attended unveiling of portrait and met with dean and alumni, and law school students	Transportation, Lodging and Meals
16.	Penguin Random House, LLC	10/18/2019	Meriden, CT	Conversation with students at Maloney High School	Transportation
17.	Penguin Random House, LLC	10/25-10/26/2019	New Orleans, LA	Conversation with participants at American Association of Pediatrics Conference	Transportation, Lodging and Meals
18.	Penguin Random House, LLC	10/26-10/29/2019	Austin, TX	Participation at Texas Book Festival	Transportation, Lodging 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. Grateful American Foundation	Grateful American Book Prize (donation to iCivics, a not for profit organization)	\$13,000.00
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 7)	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	A	Interest	J	T					
3. Morgan Stanley Bank, NA (IRA)	A	Interest	K	T					
4. Morgan Stanley Domestic Holdings, Inc. (IRA) (H)									
5. -Blackrock GLB Allocation FD Class A (IRA)	A	Dividend	L	T					
6. -Pimco Unconstrained BDA (IRA)	B	Dividend	L	T					
7. Rental Property #1, New York, NY Appraised 2012	D	Rent	P1	Q					
8. Morgan Stanley Domestic Holdings, Inc. (H)									
9. -Ishares Core MSCI EAFE ETF	B	Dividend	L	T					
10.					Sold (part)	04/18/19	J	A	
11. -Ishares Core MSCI Emerging	A	Dividend	K	T					
12.					Buy (add'l)	04/18/19	J		
13.					Buy (add'l)	12/31/19	J		
14. -Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
15.					Sold (part)	12/12/19	J	A	
16. -Ishares Russell 1000 Value ETF	A	Dividend	K	T					
17.					Sold (part)	04/18/19	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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	(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)

18. -Ishares Russell MIDCAP G ETF	A	Dividend			Sold	04/18/19	J	A	
19. -Ishares Russell MIDCAP V ETF	A	Dividend			Sold	04/18/19	J	A	
20. -Ishares Tips Bond ETF	A	Dividend	K	T					
21. -PIMCO Enhanced SHRT MTRT EXC	B	Dividend	L	T					
22.					Buy (add'l)	04/18/19	J		
23.					Buy (add'l)	12/31/19	J		
24. -SPDR Nuveen BBG Bar SHRT Term	B	Dividend	L	T					
25. -SPDR Nuveen BBG Barclays MUN B	B	Dividend	L	T					
26.					Sold (part)	12/12/19	J	A	
27. -Ishares Inc MSCI Japan (ETF)	A	Dividend	J	T	Buy (add'l)	03/27/19	J		
28.					Buy (add'l)	04/18/19	J		
29. -Invesco National AMT - Free Muni (PZA)	A	Dividend	K	T	Buy	04/18/19	J		
30.					Buy (add'l)	12/31/19	J		

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

Part III - A - Items 1 and 2 - Donations of \$2,000 were made by each organization 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 III - A - Items 3 and 4 - Publisher's royalties for Turning Pages. Dates provided are dates of checks forwarded by literary agent in amounts net of agent's commissions. Penguin Random House, LLC has advised me that it disbursed a total of \$6,923.99 to promote the sale of books of mine that it published, in addition to royalties it paid.

Part IV - Item 7 - In conjunction with my participation in the identified event, I extended my stay at my own expense for a private vacation in Portugal.

Part IV - Item 8 - In conjunction with my meeting with public school students, the McMullan Foundation purchased various copies of my books, which were distributed to the students.

Part V - Item - 1 - I was awarded the Grateful American Book Prize by the Grateful American Foundation on October 17, 2019. In lieu of accepting the prize, I directed that the prize be donated by the Foundation to a qualified charitable organization. Attached hereto is a copy of a letter from the foundation confirming that the proceeds had been distributed to the charitable organization.

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



**THE GRATEFUL AMERICAN FOUNDATION, INC.**  
**David Bruce Smith, President**  
**1101 17<sup>th</sup> Street, NW #605**  
**Washington, DC 20036**

April 30, 2020

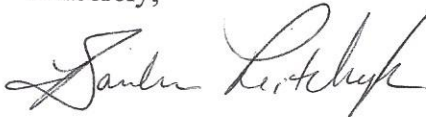
Anh Le  
Assistant to Justice Sonia Sotomayor  
Supreme Court of the United States  
1 First Street, NE  
Washington, DC 20543

Dear Ms. Le,

In October 2019, Justice Sonia Sotomayor was awarded The Grateful American Foundation Book Prize. The entire \$13,000 associated with it was donated to iCivics.

Please let me know if you need anything further.

Sincerely,



Barbara Pritchky  
Assistant to David Bruce Smith  
The Grateful American Foundation, Inc.