

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

1. Person Reporting (last name, first, middle initial) Sotomayor, Sonia	2. Court or Organization Supreme Court of the United States	3. Date of Report 05/07/2021
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 <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	6. Reporting Period 01/01/2020 to 12/31/2020
	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. 5/1/2020	Penguin Random House LLC (book royalties)	\$82,807.49
2. 5/1/2020	Penguin Random House LLC (book advance)	\$33,334.00
3. 11/2/2020	Penguin Random House LLC (book royalties)	\$62,707.23
4. 11/2/2020	Penguin Random House (book advance)	\$33,333.00

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.				
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.	Thomas Jefferson Foundation	Jefferson Medal in Law (donation to charitable organization)	\$10,000.00
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	N	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)	A	Dividend	K	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.					Buy (add'l)	03/18/20	K		
11. -Ishares Core MSCI Emerging	A	Dividend	K	T					
12.					Buy (add'l)	03/18/20	J		
13. -Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
14.					Buy (add'l)	03/18/20	J		
15. -Ishares Russell 1000 Value ETF	A	Dividend	K	T					
16.					Sold (part)	03/18/20	J	A	
17. -Ishares IBOXX HY COR BD ETF (HYG)	A	Dividend	K	T	Buy	04/08/20	K		

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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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)	

18. -Ishares Russell 2000 Growth ETF	A	Dividend	J	T	Buy	03/18/20	J		
19. -Ishares Russell 2000 Value ETF	A	Dividend	J	T	Buy	05/20/20	J		
20. -Ishares Russell MIDCAP V ETF	A	Dividend	J	T	Buy	03/18/20	J		
21. -PIMCO ENHANCED SHRT MTRT EXC	A	Dividend	L	T					
22.					Buy (add'l)	05/20/20	J		
23. -SPDR NUVEEN BBG BAR SHRT TERM	A	Dividend	L	T					
24.					Buy (add'l)	05/20/20	J		
25. -SPDR NUVEEN BBG BARCLAYS MUN B	B	Dividend	L	T					
26.					Buy (add'l)	05/20/20	J		
27. -ISHARES Tips Bond ETF	A	Dividend			Sold	03/16/20	J	B	
28. -INVESCO NATIONAL AMT - FREE MUNI (PZA)	A	Dividend			Sold	03/18/20	K	B	
29. -ISHARES INC MSCI JAPAN ETF	A	Dividend							
30.					Buy (add'l)	03/18/20	J		
31.					Sold	05/20/20	J	A	

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

Part III - A - Items 1 and 3 - Publishers royalties for Turning Pages and Just Ask. Dates provided are dates of checks forwarded by my literary agent in amounts net of agent's commissions. Penguin Random House LLC has advised me that it disbursed a total of \$818.59 to promote the sale of books of mine it has published. The foregoing amount is in addition to royalties and advances pursuant to contracts I have entered into with Penguin Random House LLC for future-books, as noted in Items 2 and 4.

Part V - I received the Jefferson Medal in Law from the Thomas Jefferson Foundation on August 31, 2020. I directed that the award proceeds be donated to a 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