

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021**

*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) Sotomayor, Sonia	2. Court or Organization Supreme Court of the United States	3. Date of Report 05/07/2022
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) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2021 to 12/31/2021
	5b. ☐ Amended Report	
7. Chambers or Office Address 1 First Street, NE Washington, DC 20543		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

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. 4/19/2021	DHX Media Ltd. (option fee)	\$5,125.00
2. 5/10/2021	Penguin Random House LLC (book royalties)	\$71,447.39
3. 11/10/2021	Penguin Random House LLC (book royalties)	\$44,146.00
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.	
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. JP Morgan Chase, NA	Mortgage on Rental Property #1, New York, New York (Pt. VII, Line 7)	None
2. Wells Fargo Bank, NA	Mortgage on Rental Property #1, New York, New York (Pt. VII, Line 7)	N
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. 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	L	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	L	T					
7. Rental Property #1, New York, NY Appraised 2021	D	Rent	P1	Q					
8. Morgan Stanley Domestic Holdings, Inc. (H)									
9. -Ishares Core MSCI EAFE ETF	B	Dividend	K	T					
10. -Ishares Core MSCI Emerging	A	Dividend	K	T					
11. -Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
12. -Ishares Russell 1000 Value ETF	A	Dividend	K	T					
13. -Ishares IBOXX HY COR BD ETF (HYG)	A	Dividend	K	T					
14. -Ishares Russell 2000 Growth ETF	A	Dividend	J	T					
15. -Ishares Russell 2000 Value ETF	A	Dividend	J	T					
16.					Buy (add'l)	09/17/21	J		
17. -Ishares Russell MIDCAP V 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

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)
18. -PIMCO ENHANCED SHRT MTRT EXC	A	Dividend	K	T					
19.					Buy (add'l)	09/17/21	J		
20. -SPDR NUVEEN BBG BAR SHRT TERM	A	Dividend	M	T					
21.					Buy (add'l)	04/09/21	K		
22.					Buy (add'l)	06/04/21	J		
23.					Buy (add'l)	09/17/21	J		
24. -SPDR NUVEEN BBG BARCLAYS MUN B	B	Dividend	M	T					
25.					Buy (add'l)	04/09/21	J		
26.					Buy (add'l)	06/04/21	K		
27.					Buy (add'l)	09/17/21	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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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

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P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

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P2 =\$5,000,001 - \$25,000,000

T =Cash Market

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

Part III - A - Item 1 - Option fee for potential television/video treatment of Just Ask!. Amount is net of literary agent's commission and legal fees paid by agent to counsel which negotiated the option agreement. Date provided is date of check forwarded by literary agent.

Part III - A - Items 2 and 3 - Publishers royalties for Turning Pages and Just Ask!. Dates provided are dates of checks forwarded by literary agents in amounts net of agent's commission. Penguin Random House LLC has advised me that it disbursed a total of \$1,023.80 to promote the sale of books of mine it has published.

Part VI - Liability listed as Item 1 was repaid simultaneously with creation of liability listed as Item 2.

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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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