

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2022**

*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 04/04/2023
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 01/01/2022 to 12/31/2022
	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. 3/10/2022	DHX Media Ltd. (second option fee)	\$10,116.00
2. 3/10/2022	Penguin Random House LLC (book royalties)	\$29,999.70
3. 10/25/2022	Penguin Random House LLC (book royalties)	\$79,428.00
4. 10/25/2022	Francis Sillaw and Mark Kurtz (payment for theater adaptation rights for Just Ask!)	\$2,225.00
5. 11/7/2022	Penguin Random House (book royalties)	\$40,067.48
6.		

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. Washington University in St. Louis	April 3-5, 2022	St Louis, MO	Meeting with students, meeting with local judges	Transportation, Lodging and Meals
2. New York University	July 17-22, 2022	Edinburgh, Scotland	Participation in New York University Law Leadership Conference	Transportation, Lodging and Meals

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3.	Just the Beginning-A Pipeline Organization	October 20-21, 2022	Chicago, IL	Participation in non-profit organization National Conference	Transportation, Lodging 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.)

	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.	Wells Fargo Bank, NA	Mortgage on Rental Property #1, New York, New York (Pt. VII, Line 7)	N
2.			
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	N	T					
2. Morgan Stanley Bank, NA	A	Interest	J	T					
3. Morgan Stanley Bank, NA (IRA)	A	Interest	M	T					
4. Morgan Stanley Domestic Holdings, Inc. (IRA) (H)									
5. -Blackrock GLB Allocation FD Class A (IRA)	A	Dividend	K	T					
6. -Pimco Unconstrained BDA (IRA)	A	Dividend	K	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	A	Dividend	K	T	Buy (add'l)	06/10/22	J		
10. -Ishares Core MSCI Emerging	A	Dividend	K	T	Buy (add'l)	03/18/22	J		
11.					Buy (add'l)	06/10/22	J		
12.					Buy (add'l)	12/09/22	J		
13. -Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
14. -Ishares Russell 1000 Value ETF	A	Dividend	K	T					
15. -Ishares IBOXX HY COR BD ETF (HYG)	A	Dividend			Sold	06/10/22	J	E	
16. -Ishares Russell 2000 Growth ETF	A	Dividend	J	T					
17.					Buy (add'l)	03/18/22	J		

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.					Buy (add'l)	06/10/22	J		
19. -Ishares Russell 2000 Value ETF	A	Dividend	J	T					
20.					Buy (add'l)	12/09/22	J		
21. -Ishares Russell MIDCAP V ETF	A	Dividend	J	T					
22.					Buy (add'l)	06/10/22	J		
23. -PIMCO ENHANCED SHRT MTRT EXC	A	Dividend			Sold	12/09/22	K	E	
24. -SPDR NUVEEN BBG BAR SHRT TERM	A	Dividend	L	T					
25.					Buy (add'l)	12/09/22	J		
26. -SPDR NUVEEN BBG BARCLAYS MUN B	C	Dividend	M	T					
27.					Buy (add'l)	03/18/22	K		
28.					Buy (add'l)	06/10/22	K		
29.					Buy (add'l)	12/09/22	J		
30. -Ishares 20t YEAR TREASURY BOND ETF	A	Dividend	K	T	Buy	03/18/22	J		
31.					Buy (add'l)	06/10/22	J		
32.					Buy (add'l)	12/09/22	J		
33. JP MORGAN ULTRA SHORT INCOME (JPST)	A	Dividend	K	T	Buy	12/09/22	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 1-3 and 5 amounts listed are all net of literary agent's commission. All dates provided are dates of checks forwarded by literary agent.

Part III - A - Items 2, 3 and 5 - Publisher royalties for Turning Pages and Just Ask!. Penguin Random House has advised me that it disbursed a total of \$1,200.00 to promote the sale of books of mine it has published.

Part III - A - Item 1 - Second option fee for potential television/video treatment of Just Ask!

Item III - A - In addition to the non-investment income items disclosed in this report, I am reporting a Conference of the Connecticut Forum, a 501(c)(3) organization which, among other programs sponsors the Connecticut Youth Forum, one of which was held on November 15, 2022 in Hartford, CT. As I participated in the event virtually, no items were paid or provided to me. I report this event as the sponsors of the event purchased copies of my memoir "My Beloved World" and another of my books "Just Ask!". All of the books were distributed to the young people attending the event in person.

Part IV - Item 1 - In conjunction with my meetings with Washington University students, the University purchased copies of my memoir "My Beloved Word", which were distributed to the students.

Part IV - Item 2 - In conjunction with my participation in the identified event, I extended my stay at my own expense for a private vacation in Scotland.

Part IV - Item 3 - Just the Beginning is sponsored in part by the Judicial Resources Committee of the U.S. Judicial Conference.

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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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