

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2023

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial) Sotomayor, Sonia	2. Court or Organization Supreme Court of the United States	3. Date of Report 4/18/2024
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 01/01/2023 to 12/31/2023
	5b. ☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)

☒ NONE (No reportable agreements.)

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

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)

A. Filer's Non-Investment Income

☐ NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 02/27/2023	Fred Rogers Productions (payment for voice performance in Alma's Way animated television episode)	\$1,879.16
2. 5/10/2023	Penguin Random House LLC (book royalties)	\$47,704.63
3. 12/20/2023	Penguin Random House LLC (book royalties)	\$39,079.59
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.)

DATE	SOURCE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Dwight D. Opperman Foundation	June 30, 2024 - July 2, 2023	Los Angeles, CA	Presentation of the Justice Ginsberg Woman of leadership Award	Transportation, Lodging and Meals
2. Harvard University Law School	November 14-15, 2023	Cambridge, MA	Judged Ames Moot Court Final Competition and visit with Students	Transportation, Lodging and Meals
3.				
4.				

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5.

V. GIFTS. (Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☒

NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)

☐

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐

 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)	
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. Rental Property #2, Margate FL (X)	D	Rent	M	V					
9. Principal Financial Group, Inc., Common Stock (X)	A	Dividend	J	T					
10. Morgan Stanley Domestic Holdings, Inc. (H)									
11. -Ishares Core MSCI EAFE ETF	A	Dividend	K	T					
12. -Ishares Core MSCI Emerging	A	Dividend	J	T					
13. -Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
14.					Buy (add'l)	09/22/23	J		
15. -Ishares Russell 1000 Value ETF	A	Dividend	K	T					
16. -Ishares Russell 2000 Growth ETF	A	Dividend	J	T					
17.					Buy (add'l)	10/09/23	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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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 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)	
	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)	
18. -Ishares Russell 2000 Value ETF	A	Dividend	J	T					
19.					Buy (add'l)	06/09/23	J		
20. -Ishares Russell MIDCAP V ETF	A	Dividend	J	T					
21.					Buy (add'l)	06/09/23	J		
22. -SPDR NUVEEN BBG BAR SHRT TERM	A	Dividend	L	T					
23. -SPDR NUVEEN BBG BARCLAYS MUN B	C	Dividend	M	T					
24.					Buy (add'l)	06/09/23	K		
25. -Ishares 20t YEAR TREASURY BOND ETF	A	Dividend	K	T					
26.					Buy (add'l)	04/17/23	J		
27.					Buy (add'l)	05/18/23	J		
28.					Buy (add'l)	06/19/23	J		
29.					Buy (add'l)	10/09/23	J		
30. JP MORGAN ULTRA SHORT INCOME (JPST)	A	Dividend	K	T					
31.					Buy (add'l)	06/09/23	J		
32. Ishares - Core S&F 500 ETF (X)	A	Dividend	J	T	Buy	09/22/23	J		
33. Ishares Russell Mid cap G ETF (X)	A	Dividend	J	T	Buy	06/18/23	J		

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(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

- Part III - All amounts listed are net of literary agent's commission. All dates provided are dates of checks forwarded by literary agent.
- Part III - A - Items 2, 3 - Publisher royalties for Turning Pages and Just Ask!. Penguin Random House has advised me that it made no disbursements in 2023 to promote the sale of books of mine it has published.
- Part VII -Item 8 - (Margate, FL) Personal residence converted to rental in 2023. Value based on Zillow Group, Inc., 2023 valuation.
- Part VII - Item 9 - Asset acquired through an inheritance.

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544