AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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)	2. Court or Organization	3. Date of Report
Sotomayor, Sonia	Supreme Court of the United States	04/09/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Associate Justice	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	1/1/2012 to 12/31/2012
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 4/26/12	Book advance from The Knopf Doubleday Group	$1,000,000.00
2. 11/13/12	Reimbursed expenses for book promotion from The Knopf Doubleday Group	$299.00
3. 11/16/12	Reimbursed expenses for book promotion from The Knopf Doubleday Group	$224.00
4. 12/8/12	Reimbursed expenses for book promotion from The Knopf Doubleday Group	$485.00
5. 12/10/12	Book advance from The Knopf Doubleday Group	$925,000.00
6. 12/18/12	Reimbursed expenses for book promotion from The Knopf Doubleday Group	$190.00
7. 12/21/12	Reimbursed expenses for book promotion from The Knopf Doubleday Group	$1,933.00
8.		
9.		
10.		

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 AND TYPE
1.	
2.	
3.	
4.	

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

(Includes those to spouse and dependent children; see pp. 23-27 of filing instructions.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Bar Associations of Guam and The Northern Mariana Islands	1/24 - 29/12	Guam and Saipan	Attendance and remarks at Conferences of the US District Courts for Guam and the NMI	Transportation and meals
2.	University of Hawaii Law School	1/29 - 2/3/12	Honolulu, Hawaii	Teaching	Transportation, lodging and meal
3.	University of Pennsylvania Law School	4/5/12	Philadelphia, Pennsylvania	Question and Answer Discussion	Transportation and meal
4.	New York University School of Law	4/9/12	New York, NY	Moot Court Judging	Transportation and meals
5.	New York University School of Law	5/16/16	New York, NY	Commencement Address	Transportation and meals
6.	Just The Beginning Foundation	9/20/ - 23/12	Chicago, Illinois	Attendance and various speaking events at Annual Convention	Transportation, lodging and meal
7.					

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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.	Discover	Retail Credit Card	J
2.	Visa	Retail Credit Card	J
3.	Master Card	Retail Credit Card	J
4.	American Express	Retail Credit Card	J
5.	Citibank, NA	Checkinig plus	J
6.	JP Morgan Chase, NA	Mortgage on Rental Property #1, New York, New York (Pt. VII, line 11)	N
7.			

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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Capital One Bank Account (formerly ING Direct)	A	Interest	L	T					
2. Citibank, N.A. Accounts	B	Interest	P1	T					
3. Morgan Stanley Bank, NA (H)	A	Interest	J	T					
4. Pimpco Total Return Fund - A	C	Dividend	L	T					
5. Templeton Global Bond A Fund	C	Dividend	K	T					
6. Columbia TRI LC Growth Class A MF Fund	A	Dividend	L	T					
7. Nuveen NWQ Large Cap Value A Fund	A	Dividend	K	T					
8. Thornburg INT Growth A Fund	A	Dividend	L	T					
9. Morgan Stanley Bank, NA (IRA) (H)	A	Interest	J	T					
10. Blackrock GLB Allocation FD Class A (IRA)	A	Distribution	K	T					
11. Rental Property #1, New York, NY Appraised approx. June 2012	D	Rent	P1	Q					
12.									
13.									
14.									
15.									
16.									
17.									

1. Income Gain Codes (See Columns B1 and D4): A = $1,000 or less; B = $1,001 - $2,500; C = $2,501 - $5,000; D = $5,001 - $15,000; E = $15,001 - $50,000; F = $50,001 - $100,000; G = $100,001 - $1,000,000; H1 = $1,000,001 - $5,000,000; H2 = More than $5,000,000
2. Value Codes (See Columns C1 and D3): I = $15,000 or less; J = $15,001 - $50,000; K = $50,001 - $100,000; L = $100,001 - $250,000; M = $250,001 - $500,000; N = $500,001 - $1,000,000; O = $1,000,001 - $5,000,000; P1 = $5,000,001 - $25,000,000; P2 = $25,000,001 - $50,000,000; P3 = $50,000,001 - $100,000,000; P4 = More than $100,000,000
3. Value Method Codes (See Column C2): Q = Appraisal; R = Cost (Real Estate Only); S = Assessment; T = Cash Market; U = Book Value; V = Other; W = Estimated

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

- Part IV, Item 1 - I was in both Guam and Hawaii on January 29, 2012, due to the impact of crossing the Internatinal Dateline. Lodging was provided as personal hospitality.

- Part V, Gifts - During 2012 many people sent me gifts of books, art, jewelry and trinkets. I have no reason to believe that any of those items exceeded the $350.00 limit. If I should learn otherwise, I will amend this form.

- Part VI, Item 4 - As residential property in New York, New York was converted from personal to investment, the mortgage thereon became reportable as a liability.

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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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