AO 10
Rev. 1/2015

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017

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	5/11/2018

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	01/01/2017 to 12/31/2017

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.	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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 6/8/2017	Penguin Random House LLC	$40,000.00
2. 7/13/2017	Penguin Random House LLC	$37,500.00
3. 10/23/2017	Penguin Random House LLC	$40,000.00
4. 6/16/2017	American Association of University Women (donation)	$2,000.00

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.)*

DATE	SOURCE AND TYPE
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Stanford University Law School	3/10/2017 through 3/12/2017	Palo Alto, CA	Participation in Q & A discussion with law students	Transportation, Lodging and Meals
2.	Princeton University	3/31/2017 through 4/1/2017	Princeton, NJ	Participation in interview/ conversation w Margarita Rosa, Princeton Latino Alumni org	Transportation, Lodging and Meals
3.	Albany Law School	4/3/2017 through 4/4/2017	Albany, NY	Participaton in Q & A discussion with law students	Lodging and Meals

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4.	Yale Universtiy Law School	4/6/2017 through 4/7/2017	New Haven, CT	Speech at Liman Conference and participation in unveiling of portrait	Transportation, Lodging and Meals
5.	University of Macerata	4/28/2017 through 5/7/2017	Macerata, Italy	Delivery of the Alberico Gentili Lecture and participation in two panel discussions	Transportation, Lodging and Meals
6.	American Bar Assn-Rule of Law Institute; Lawyers without Borders; Wayamo Foundation	8/6/2017 through 8/9/2017	Arusha, Tanzania	Participation in symposium; Q&A discussion with group of East African Judges & attys.	Transportation, Lodging and Meals
7.	Opperman Foundation	9/27/2017 through 9/28/2017	New York, NY	Spoke at event honoring Judge Ralph Winter and presention of Devitt Award	Transportation and Meals
8.	Hofstra University School of Law	10/16/2017	Hempstead, NY	Participation in Q & A discussion with law students	Transportation and Meals

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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 11)	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)	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. Citibank, N.A. Accounts	A	Interest	N	T					
2. Morgan Stanley Bank, NA (H)	A	Interest	J	T					
3. Templeton Global Bond A Fund	A	Dividend			Sold	12/11/17	K		
4. Columbia TRI LC Growth Class A MF Fund	D	Dividend			Sold	12/11/17	M	C	
5. Nuveen NWQ Large Cap Value A Fund	A	Dividend			Sold	12/11/17	K		
6. Thornburg IN Growth A Fund	A	Dividend			Sold	12/11/17	L	B	
7. Franklin FLTG RT DLY Access A Common	B	Dividend			Sold	12/11/17	K		
8. Morgan Stanley Bank, NA (IRA) (H)	A	Interest	J	T					
9. Blackrock GLB Allocation FD Class A (IRA)	A	Dividend	K	T					
10. Pimco Unconstrained BDA (IRA)	B	Dividend	L	T					
11. Rental Property #1, New York, NY Appraised 2012	E	Rent	P1	Q					
12. Ishares Core MSCI EAFE ETF	A	Dividend	K	T	Buy	12/12/17	K		
13. Ishares Core MSCI Emerging	A	Dividend	K	T	Buy	12/12/17	K		
14. Ishares IBOXX $ H/Y COR BD ETF	A	Dividend	K	T	Buy	12/12/17	K		
15. Ishares Russell 1000 GRW ETF	A	Dividend	K	T	Buy	12/12/17	K		
16. Ishares Russell 1000 Value ETF	A	Dividend	K	T	Buy	12/12/17	K		
17. Ishares Russell 2000 GRWTH ETF	A	Dividend	J	T	Buy	12/12/17	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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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)
18. Ishares Russell 2000 Value ETF	A	Dividend	J	T	Buy	12/12/17	J		
19. Ishares Russell MIDCAP G ETF	A	Dividend	J	T	Buy	12/12/17	J		
20. Ishares Russell MIDCAP V ETF	A	Dividend	J	T	Buy	12/12/17	J		
21. Ishares Tips Bond ETF	A	Dividend	K	T	Buy	12/12/17	K		
22. PIMCO Enhanced SHRT MTRT EXC	A	Dividend	K	T	Buy	12/12/17	K		
23. SPDR Nuveen BBG Bar SHRT Term	A	Dividend	L	T	Buy	12/12/17	L		
24. SPDR Nuveen BBG Barclays MUN B	A	Dividend	L	T	Buy	12/12/17	L		
25. Wisdomtree Trust JAPN Hedge EQ	A	Dividend	J	T	Buy	12/12/17	J		

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)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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 III - A - Items 1, 2 and 3 - Publisher's advances against royalties for two books. Dates provided are dates of checks forwarded by literary agent in amounts net of agent's commissions.

Part III - A - Item 4 - Donation of $2,000 was made on my behalf to a qualified charitable organization in lieu of an honorarium, pursuant to Section 1020.30(c) of the Judicial Conference Regulations.

Part IV - Item 1 - In conjunction with this event, I participated in a similar event at the Law School of the University of California at Berkeley. The cost of transportation and lodging was shared by the two universities.

Part IV - Item 5 - While the University of Macerata is a public institution, the publication of the Italian language edition of my memoir "My Beloved World" was sponsored by Studio Lucchetti, a private Italian law firm. One of the two panel discussions in which I participated dealt with the publication of the memoir.

Part IV - Item 6 - The cost of transportation, lodging and meals for these events were shared by the sponsoring organizations. Transportation from the United States to Cape Town, South Africa and from Arusha, Tanzania to the United States was paid for by the University of Cape Town, where I had participated in similar events prior to flying to Arusha. The University of Cape Town is a public institution.

Part IV - Item 8 - In conjunction with this event, I participated in a similar event at Queens College, Flushing, New York. The cost of transportation was shared by the two universities. Queens College is a public institution.

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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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