

UNITED STATES COURT OF APPEALS
UNITED STATES COURTHOUSE
40 FOLEY SQUARE
NEW YORK, NY 10007

CHAMBERS OF
SONIA SOTOMAYOR
U.S. CIRCUIT JUDGE

(212) 857-2420
FAX (212) 857-2429

September 1, 2004

Mary M. Lisi
Chair
Judicial Conference Of The United States
Committee On Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

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FINANCIAL
DISCLOSURE OFFICE

Dear M. Lisi:

In response to your letter of July 27, 2004, I note the following:

1. In Part III, lines 1 and 2 - I made a simple math error in calculating the 15% limit on my earned income for 2003. The error was partially attributable to the changes in cost of living adjustments that altered during the course of the year. By copy of the letter attached hereto, I am working out the details necessary to return the overpayment to New York University Law School.

2. In Part VII, page 1, line 1 - I have always had only two accounts at Citibank - a checking and savings account. In the past, represented by my 2002 report, I broke down my savings account into an interest component and a savings component. Since the interest and savings are generated in the same account, in the 2003 report I simply made one Citibank entry instead of two as I have done in the past.

If you have any further questions, please do not hesitate to contact me.

Very truly yours,


Sonia Sotomayor

SS/tb
Encl.

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Sotomayor, Sonia	2. Court or Organization US Court of Appeals 2 Circuit	3. Date of Report 5/4/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Active U.S.C.J.	5. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address United States Courthouse 40 Foley Square, Room 401 New York, New York 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

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

☐ NONE - (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Adjunct Professor	New York University Law School
2. Lecturer-in-law	Columbia University School of Law

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

☒ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

☐ NONE - (No reportable non-investment income.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
1. Present	Lecturer-in-Law - Columbia University School of Law	\$10,000.00
2. Present	Adjunct Professor - NYU Law School	\$14,600.00

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

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** – (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Georgetown University Law Center, Washington DC	2/14 - 2/16 Marbury v. Madison Conference; travel, lodging and meals.
2. Indiana University School of Law, Indianapolis, Indiana	3/20 - 3/21 Gave student lectures; travel, lodging and meals.
3. Women's Bar Association of New York, Syracuse University, Syracuse, NY	5/3 - 5/4 WBASNY Convention on Sentencing Guidelines; travel, lodging and meals.
4. Princeton University, Williamsburg, VA	6/19 - 6/22 Conference on Constitutional Principles in American History; travel, lodging and meals.
5. Buffalo Law School, Buffalo, New York	5/9 - 5/10 Commencement speech; travel, lodging and meals.

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** – (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** – (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	if not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions)									
1. Citibank, N.A.	A	savings <i>in trust</i>	J	T					
2. Citibank, N.A.	A	checking <i>in trust</i>	J	T					
3.									
4.									

1. Income/Gain Codes:	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
(See Columns B1 and D4)	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:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

5/5/04

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544