

NO-10
Rev. 1/91

FINANCIAL DISCLOSURE REPORT

 Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C. App. 4, §§101-112)

1. Person Reporting (last name, first, middle initial) Sonia Sotomayor	2. Court or Organization U.S. District Court for the Southern District of New York	3. Date of Report December 2, 1991
4. Title (Article III judges indicate active or senior status; Magistrate judges indicate full- or part-time) Judicial Nominee	5. Report Type (check appropriate type) ☒ Nomination, Date 11/27/91 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period December 2, 1991
7. Chambers or Office Address Pavia & Harcourt 600 Madison Avenue New York, N.Y. 10022		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on last page.</i>		

I. POSITIONS. (Reporting individual only; see pp. 7-8 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐ NONE (No reportable positions)

<u>Partner</u>	<u>Pavia & Harcourt</u>
<u>Member, Board of Directors</u>	<u>New York City Campaign Finance Board</u>
<u>Member, Board of Directors</u>	<u>New York State Mortgage Agency</u>

II. AGREEMENTS. (Reporting individual only; see p. 8-9 of Instructions.) (Continued; please see ATTACHMENT A)

DATE

PARTIES AND TERMS

☐ NONE (No reportable agreements)

As a partner in Pavia & Harcourt, I have a 1.5% of 106% interest in the firm which interest is currently valued at \$25,616. The partners are currently discussing a redistribution of the percentage interest in the firm of deceased and retired partners. This redistribution may increase my interest and its value. The liquidation of a partner's interest is generally negotiated at the time of a resignation but the partnership has two years to pay the interest. My partners have advised me that they will attempt to liquidate my interest prior to my assumption of any public position.

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 9-12 of Instructions.)

DATE

SOURCE AND TYPE

 GROSS INCOME
(yours, not spouse's)

	DATE (Honoraria only)	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐	NONE (No reportable non-investment income)		
1		Pavia & Harcourt Income 1990	\$151,761. (gross)
2		In 1991 to date, I have received distributions from my firm in the amount of \$133,544 (gross), but until Schedule K-1, Form 1065 is prepared for my tax filing in April, 1992, I will not know my exact gross income based on partnership allocations of income, credits, deductions, etc.	\$
3		State of New York Mortgage Agency	300.
4		New York City Campaign Finance Board	\$ 1,000.

*Payment of \$100 per diem for service on Boards of Directors.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting	Date of Report
Sonia Sotomayor	December 2, 1991

IV. REIMBURSEMENTS and GIFTS – transportation, lodging, food, entertainment.
 (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp.13-15 of Instructions.)

SOURCE	DESCRIPTION
☒ NONE (No such reportable reimbursements or gifts)	
1	
2	
3	
4	
5	
6	
7	
8	

V. OTHER GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp.15-16 of Instructions.)

SOURCE	DESCRIPTION	VALUE
☒ NONE (No such reportable gifts)		
1		\$
2		\$
3		\$
4		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of spouse, "(D)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp.12-15 of Instructions.)

CREDITOR	DESCRIPTION	VALUE CODE*
☒ NONE (No reportable liabilities)		
1	As a member of Pavia & Barcourt, I am contingently liable for the debts and obligations	
2	of the firm incurred during my partnership. The firm, however, has paid its debts in	
3	the ordinary course of business and no claims against individual partners have been	
4	made or are anticipated.	
5		
6		
7		

* VALUE CODES: A = \$15,000 or less B = \$15,001 to \$50,000 C = \$50,001 to \$100,000 D = \$100,001 to \$250,000
 E = \$250,001 to \$500,000 F = \$500,001 to \$1,000,000 G = more than \$1,000,000

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
Sonia SotomayorDate of Report
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VII. INVESTMENTS and TRUSTS -- income, value, transactions. (Includes those of spouse and dependent children; see pp. 18-27 of Instructions.)

A. Description of Assets (including trust assets) Indicate, where applicable, owner of the asset by using the parenthetical "(S)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(D)" for ownership by dependent child. Place "(X)" after each asset except from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1) Amt. Code (A-S)	(2) Type (G-I), net; or Int. (J-F)	(1) Value Code (J-F)	(2) Value Method Code (Q-W)	If not exempt from disclosure					
					(1) Type (G-I), net; or Int. (J-F)	(2) Date Month Day	(3) Value Code (J-F)	(4) Gain Code (A-S)	(5) Identity of buyer/seller (if private transaction)	
☐ NONE (No reportable income, assets, or transactions)										
1 Citibank, WA, N.Y., N.Y.	P	Sav. Acct. Bal.	K	T						
2 Citibank, WA, N.Y., N.Y.	C	Int. on Sav.	J	T						
3 Citibank, WA, N.Y., N.Y.	None	Check's Acct.	J	T						
4 Cobble Hill Laundry, Bklyn. N.Y.					Loan to Bus.	8/91	K	N/A	Personal interest free loan to bus. of a friend to be repaid in three y	
5 Cobble Hill Laundry, Bklyn. N.Y.	B	Loan repay	J	T						
6 Pavia & Harcourt	None except see III	Partnership	K	V (Partnership self-assessment)						
7										
8										
9 Pavia & Harcourt as a firm has bank accounts, a mutual fund account, and some										
10 stock. I do not manage and do not have signatory power over any of those										
11 accounts or stocks, and have never participated in any decision making with										
12 respect to those accounts. My K-1, 1965 for 1990 is attached hereto for										
13 purpose of reflecting my allocation of partnership income and transactions.										
14 Until the close of the calendar year when the K-1 is prepared for my firm,										
15 I will not know my allocations for 1991. Since I have only a minimal										
16 interest in my firm, 1.5% of 196%, and do not control or manage the firm or										
17 its assets, information relating to the firm's assets has not been included.										
18										
19										
20										
1 Income/Gain Codes: A=\$1,000 or less B=\$1,001 to \$2,500 C=\$2,501 to 5,000 D=\$5,001 to \$15,000 (See Col. B1 & B4) E=\$15,001 to \$50,000 F=\$50,001 to \$100,000 G=\$100,001 to \$1,000,000 H=more than \$1,000,000										
2 Value Codes: J=\$15,000 or less K=\$15,001 to \$50,000 L=\$50,001 to \$100,000 M=\$100,001 to \$250,000 (See Col. C1 & D1) N=\$250,001 to \$500,000 O=\$500,001 to \$1,000,000 P=more than \$1,000,000										
3 Value Method Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market (See Col. C2) U=Book Value V=Other W=Estimated										

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting	Date of Report
Sonia Sotomayor	December 2, 1991

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate part of Report.)

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.A. app. 7, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature *Sonia Sotomayor* Date 12/2/91

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.A. APP. 6, § 104, AND 18 U.S.C. § 1001.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544

Name of Person Reporting	Date of Report
Sonia Sotomayer	December 2, 1991

ATTACHMENT A

Member, Board of Directors	Puerto Rican Legal Defense and Education Fund
One of three Trustees for	Ortiz 1989 Family Trust
One of three Trustees for	Candido Ortiz Trust for the benefit of Amanda Maria Valdez
One of three Trustees for	Candido Ortiz Trust for the benefit of Cheo Lopez
One of three Trustees for	Candido Ortiz Trust for the benefit of Christina Citron
One of three Trustees for	Candido Ortiz Trust for the benefit of David Thompson
One of three Trustees for	Candido Ortiz Trust for the benefit of Christopher Thompson
One of three Trustees for	Candido Ortiz Trust for the benefit of Christopher Valdez

I have no beneficial interest in the trusts.

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS			LIABILITIES		
Cash on hand and in banks	35,000	(1)	Notes payable to banks—secured	0	
U.S. Government securities—add schedule	0		Notes payable to banks—unsecured	0	
Listed securities—add schedule	0		Notes payable to relatives	0	
Unlisted securities—add schedule	0		Notes payable to others	0	
Accounts and notes receivable:	0		Accounts and bills due	2,000	(5)
Due from relatives and friends			Unpaid income tax	0	
Due from others	27,000	(2)	Other unpaid tax and interest	0	
Doubtful	0		Real estate mortgages payable—add schedule	82,500	(6)
Real estate owned—add schedule	105,000	(3)	Chattel mortgages and other liens payable		
Real estate mortgages receivable	0		Other debts—itemize:		
Autos and other personal property	45,000	(4)	Lease on Car	1,538	83 (7)
Cash value—life insurance	---	---			
Other assets—itemize:					
Partnership Interest in Pavia & Harcourt	25,616		Total Liabilities	86,038	83
Total assets	237,616		Net worth	151,577	17
			Total liabilities and net worth	237,616	00
CONTINGENT LIABILITIES			GENERAL INFORMATION		
As endorser, cosigner or guarantor	None	(8)	Are any assets pledged? (Add schedule.)	Yes - Co-op	Shares
On leases or contracts	---		Are you defendant in any suits or legal actions?	No (9)	
Legal Claims	---		Have you ever taken bankruptcy?	No	
Provision for Federal Income Tax	---				
Other special debt	---				

For notes (1) thru (9) see attached Schedule A.