

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) GARAUFIS, NICHOLAS G.	2. Court or Organization EASTERN DISTRICT OF NEW YORK	3. Date of Report 06/06/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11202		
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. 02/09/1997	ABC, INC. PENSION PLAN MONTHLY SURVIVOR BENEFIT
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2015	ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENTS INSTITUTIONAL OPERATONS)	\$11,422.00
2. 2015	YESHIVA UNIVERSITY - TEACHING	\$2,429.00
3. 2015	COLUMBIA UNIVERSITY - TEACHING	\$30,000.00
4. 2015	JUDICIAL RETIREES & SURVIVORS - PENSION INCOME	\$192,855.00

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2015	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION INCOME
3. 2015	MAIMONIDES MEDICAL CENTER, FORM 1099-MISC - CONSULTING INCOME
4. 2015	NATIONAL FINANCIAL SERVICES, FORM 1099-R - PENSION INCOME

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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GARAUFIS, NICHOLAS G.

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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) 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)	(5) Identity of buyer/seller (if private transaction)
1. RCA CAPITAL GROUP LLC BANK DEPOSIT SWEEP PROGRAM	A	Interest	M	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	L	T	Sold (part)	03/24/15	J	A	
4.					Sold (part)	04/28/15	J	A	
5. BLACKROCK FLEXIBLE EQUITY FD CL A	A	Dividend	K	T					
6. INVESTCO VAN KAMPEN AMERICAN FRANCHISE CL A	A	Dividend	K	T	Sold (part)	07/23/15	J	A	
7. INVESTCO GLOBAL GROWTH FD CL A	A	Dividend	K	T					
8. AMERICAN BALANCED SHARES CL FI	A	Dividend	J	T					
9. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	L	T					
10. ISHARES TR. RUSSELL 1000 VALUE ETF	A	Dividend	K	T					
11. AB GLOBAL REAL ESTATE INVESTMENT CL A	A	Dividend	K	T					
12. OPPENHEIMER MID CAP VALUE FUND	A	Dividend	K	T	Sold (part)	11/10/15	J	A	
13. AB GROWTH & INCOME FUND CL A	A	Dividend	K	T					
14. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
15. ABC PENSION PLAN		None	J	T					
16. INVESTCO GLOBAL LOW VOLATILITY	A	Dividend	J	T					

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 \$5,000,000	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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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				
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17. ISHARES RUSSELLMIDCAP ETF ISIN	A	Dividend	K	T					
18. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
19. ISHARES RUSSELL GROWTH 2000 ETF	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
20.					Buy (add'l)	08/13/15	J		
21.					Buy (add'l)	09/18/15	J		
22. ISHARES MSCI EMERGING MKT	A	Dividend	J	T					
23. FRANKLIN MUTUAL SHARES FD	A	Dividend	J	T					
24. SPDR S&P 500 ETF TR	A	Dividend	J	T					
25. PIMCO TOTAL RETURN CL C	A	Dividend	J	T					
26. OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
27. INVESTCO EQUITY & INCOME	B	Dividend	K	T					
28. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T	Sold (part)	06/26/15	J	A	
29. AB LG CAP GROWTH A	A	Dividend	K	T					
30. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER.CLASS C	A	Dividend	J	T					
31. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T					
32. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
33. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T					

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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	
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34. PIMCO COMM REAL RETURN	A	Dividend	J	T					
35. ROYCE TOTAL RET. INV.	A	Dividend			Sold	01/20/15	J	A	
36. I SHARES S&P SMCAP 600	A	Dividend	K	T					
37. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
38. EAGLE SM CAP FD A	A	Dividend	J	T	Sold (part)	04/14/15	J	A	
39. I SHARES RUSSELL 2000 ETF	A	Dividend	K	T					
40. PIMCO UNCONSTRAINED	A	Dividend	K	T					
41. ARTISAN INTL INVESTOR	A	Dividend	K	T					
42. FORWARD SELECT INC INST	A	Dividend	J	T					
43. ISHARES TR COHEN & STEERS REIT ETF	A	Dividend	J	T	Buy (add'l)	06/15/15	J		
44. PIMCO HIGH YIELD A	A	Dividend	J	T					
45. FORWARD TACTICAL GROWTH FD CL C	A	Dividend			Sold	02/04/15	J	A	
46. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend	K	T					
47. ARTISAN MID-CAP VALUE	A	Dividend	J	T					
48. MAINSTAY ICAP SELECT	A	Dividend	J	T					
49. DEUTSCHE SMALL CAP VALUE	A	Dividend	J	T					
50. GOLDMAN SACHS SATELLITE STRAT PORTFOLIO	A	Dividend	J	T					

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51. BLACKROCK EQUITY DIVIDEND	A	Dividend	K	T	Buy (add'l)	04/14/15	J		
52. FIDELITY ADVISORS FLOATING RATE HIGH INC FD	A	Dividend	J	T					
53. ISHARES S&P 500 GROWTH	A	Dividend	J	T					
54. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend	J	T	Buy (add'l)	09/01/15	J		
55. ISHARES RUSSELL TOP 200 VALUE	A	Dividend	J	T	Buy (add'l)	12/14/15	J		
56. ISHARES S&P MIDCAP 400 VALUE	A	Dividend	J	T					
57. ALLIANZGI NFS INTL VALUE	A	Dividend	J	T					
58. JPMORGAN LARGE CAP GROWTH	A	Dividend	K	T	Buy (add'l)	01/07/15	J		
59.					Buy (add'l)	06/18/15	J		
60. PIMCO CORPORATE & INCOME OPPORTUNITY FD	A	Dividend	J	T					
61. ISHARES MSCI EAFE MIN VOLATIL	A	Dividend	J	T	Buy	11/10/15	J		
62. AB DISCOVERY VALUE FD	A	Dividend	J	T	Buy	05/15/15	J		
63. COHEN & STEERS REAL ESTATE SECURITIES	A	Dividend	J	T	Buy	03/09/15	J		

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

VII, PAGE 4 OF 9, LINE 15:

ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE MONTHLY PENSION BENEFITS UNDER MY LATE WIFE'S PENSION PLAN. PART III, LINE 2 DISCLOSES INCOME RECEIVED. THESE PAYMENTS WILL CEASE UPON MY DEATH.

VII, PAGE 4 OF 9, LINE 6:

NAME CHANGED FROM INVESCO AMERICAN FRANCHISE TO INVESTCO VAN KAMPEN AMERICAN FRANCHISE CL A.

VII, PAGE 4 OF 9, LINE 8:

NAME CHANGED FROM ALLIANCE BALANCED SHARES CL B TO AMERICAN BALANCED CL F1.

VII, PAGE 4 OF 9, LINE 11:

NAME CHANGED FROM ALLIANCE GLOBAL REAL ESTATE INVESTMENT FD A TO AB GLOBAL REAL ESTATE INVESTMENT CL A.

VII, PAGE 4 OF 9, LINE 12:

NAME CHANGED FROM OPPENHEIMER MS & MID CAP VALUE FUND TO OPPENHEIMER MID CAP VALUE FUND.

VII, PAGE 4 OF 9, LINE 13:

NAME CHANGED FROM ALLIANCEBER GROWTH & INC FUND CL B TO AB GROWTH & INCOME FUND CL A.

VII, PAGE 5 OF 9, LINE 29:

NAME CHANGED FROM ALLIANCEBER LG CAP GROWTH B TO AB LG CAP GROWTH A.

VII, PAGE 6 OF 9, LINE 39:

NAME CHANGED FROM ISHARES RUSSELL 2000 VALUE TO ISHARES RUSSELL 2000 ETF.

VII, PAGE 6 OF 9, LINE 43:

NAME CHANGED FROM ISHARES TR COHEN & STEERS REALTY TO ISHARES TR COHEN & STEERS REIT ETF.

VII, PAGE 7 OF 9, LINE 52:

NAME CHANGED FROM FIDELITY ADVISORS FLOATING HIGH INC FD TO FIDELITY ADVISORS FLOATING RATE HIGH INC FD.

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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/ NICHOLAS G. GARAUFIS**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544