

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 02/06/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 02/09/1997	ABC, INC. PENSION PLAN MONTHLY SURVIVOR BENEFIT
2.	
3.	

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Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

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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. 2013	ABC INC. RETIREMENT PLAN - PENSION INCOME	\$11,422.00
2. 2013	YESHIVA UNIVERSITY - TEACHING	\$3,400.00
3. 2013	COLUMBIA UNIVERSITY - TEACHING	\$22,500.00
4. 2013	COMMONWEALTH FINANCIAL NETWORK - PENSION INCOME	\$40,000.00

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2013	SCIENCE FIRST, INC. - CONSULTING INCOME
3. 2013	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION INCOME
4. 2013	FEDCAP REHABILITATION SERVICES, FORM 1099-MISC - CONSULTING 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.)*

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.

2.

3.

4.

5.

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Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

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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	D	Interest	L	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	L	T					
4. BLACKROCK FLEXIBLE EQUITY FD CL A	A	Dividend	K	T					
5. INVESTCO VAN KAMPEN AMERICAN FRANCHISE	A	Dividend	K	T					
6. INVESTCO GLOBAL GROWTH FD CL B	A	Dividend	K	T					
7. ALLIANCE BALANCED SHARES CL B	A	Dividend	J	T					
8. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	L	T					
9. ISHARES TR. RUSSELL 1000	A	Dividend	K	T					
10. FIDELITY ADVISOR INFLATION PROTECTED BD FD CL A	A	Dividend			Sold	05/22/13	J	A	
11. ALLIANCE REAL ESTATE INVESTMENT FD A	A	Dividend	K	T					
12. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T	Sold (part)	01/16/13	J	A	
13. ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND	A	Dividend			Sold	11/19/13	J	A	
14. ALLIANCE GROWTH & INCOME FUND CL B	A	Dividend	K	T					
15. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
16. ABC PENSION PLAN		None	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

02/06/2015

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				
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17. INVESTCO GLOBAL LOW VOLATILITY	A	Dividend	J	T					
18. ISHARES MIDCAP	A	Dividend	K	T					
19. ISHARES MSCI EAFE ETF	A	Dividend	K	T	Sold (part)	05/09/13	J	A	
20.					Sold (part)	05/16/13	J	A	
21.					Buy (add'l)	08/14/13	J		
22. ISHARES RUSSELL 2000	A	Dividend	K	T					
23. ISHARES MSCI EMERGING MKT	A	Dividend	J	T	Buy (add'l)	03/28/13	J		
24. MUTUAL SERIES CLASS C	A	Dividend	J	T					
25. SPDR S&P 500 ETF TR	A	Dividend	J	T	Sold (part)	05/15/13	J	A	
26.					Sold (part)	06/13/13	J	A	
27. PIMCO TOTAL RETURN CL C	A	Dividend	J	T					
28. OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
29. INVESTCO VAN KAMPEN EQUITY & INCOME	B	Dividend	J	T					
30. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T	Sold (part)	06/19/13	J	A	
31. ALLIANCE BERNSTEIN LG CAP GROWTH B	A	Dividend	K	T					
32. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER.CLASS C	A	Dividend	J	T					
33. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T					

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

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Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

02/06/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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				
	(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)
34. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T	Sold (part)	02/15/13	J	A	
35.					Sold (part)	08/30/13	J	A	
36. INVESTCO DEVELOPING MKT CL A	A	Dividend	L	T					
37. OPPENHEIMER INT BD FD	A	Dividend			Sold	05/06/13	J	A	
38. PIMCO COMM REAL RETURN	A	Dividend	J	T					
39. ROYCE TOTAL RET. INV.	A	Dividend	J	T					
40. I SHARES S&P SMCAP 600	A	Dividend	K	T					
41. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
42. EAGLE SM CAP FD A	A	Dividend	J	T	Sold (part)	06/06/13	J	A	
43. I SHARES RUSSELL 2000 VALUE	A	Dividend	J	T					
44. PIMCO UNCONSTRAINED	A	Dividend	K	T	Sold (part)	10/24/13	J	A	
45. ARTISAN INTL INVESTOR	A	Dividend	J	T	Buy (add'l)	06/20/13	J		
46.					Buy (add'l)	07/29/13	J		
47.					Buy (add'l)	10/03/13	J		
48.					Buy (add'l)	12/16/13	J		
49. FORWARD SELECT INC INST	A	Dividend	J	T					
50. ISHARES TR COHEN & STEERS REALTY	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
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2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
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3. Value Method Codes
(See Column C2)

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Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: GARAUFIS, NICHOLAS G., 02/06/2015

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.)

Table with 10 columns: A. Description of Assets, B. Income during reporting period, C. Gross value at end of reporting period, D. Transactions during reporting period. Rows 51-66 include assets like PIMCO HIGH YIELD A, FORWARD TACTICAL GROWTH FD CL C, BLACKROCK GLOBAL ALLOCATION FD CL C, etc.

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
2. Value Codes: F=\$50,001 - \$100,000, G=\$100,001 - \$1,000,000, H1=\$1,000,001 - \$5,000,000, H2=More than \$5,000,000
3. Value Method Codes: Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	02/06/2015

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

VII, PAGE 4 OF 9, LINE 16:
ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE MONTHLY PENSION BENEFITS UNDER ██████████ PENSION PLAN.
PART III, LINE 2 DISCLOSES INCOME RECEIVED. THESE PAYMENTS WILL CEASE UPON MY DEATH.

VII, PAGE 5 OF 9, LINE 17:
NAME CHANGED FROM INVESTCO QUANTITATIVE CORE. TO INVESCO GLOBAL LOW VOLATILITY.

VII, PAGE 5 OF 9, LINE 19:
NAME CHANGED FROM ISHARES TRMSCI TO ISHARES MSCI EAFE ETF

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Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	02/06/2015

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
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One Columbus Circle, N.E.
Washington, D.C. 20544