

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 06/01/2017
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 01/01/2016 to 12/31/2016
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. 2016	ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENTS INSTITUTIONAL OPERATONS)	\$11,422.00
2. 2016	COLUMBIA UNIVERSITY - TEACHING	\$30,000.00
3.		
4.		

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. 2016	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2016	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION INCOME
3. 2016	MAIMONIDES MEDICAL CENTER, FORM 1099-MISC - CONSULTING INCOME
4. 2016	NATIONAL FINANCIAL SERVICES, FORM 1099-R - PENSION INCOME
5.	

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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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	O	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	K	T					
4. BLACKROCK FLEXIBLE EQUITY FD CL A	A	Dividend	K	T					
5. INVESTCO AMERICAN FRANCHISE CL A	A	Dividend	K	T					
6. INVESTCO GLOBAL GROWTH FD CL A	A	Dividend	K	T					
7. AMERICAN BALANCED SHARES CL FI	A	Dividend	J	T					
8. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	L	T					
9. ISHARES TR. RUSSELL 1000 VALUE ETF	A	Dividend	K	T					
10. AB GLOBAL REAL ESTATE INVESTMENT CL A	A	Dividend	K	T					
11. OPPENHEIMER MID CAP VALUE FUND	A	Dividend	K	T					
12. AB GROWTH & INCOME FUND CL A	A	Dividend	K	T					
13. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
14. ABC PENSION PLAN		None	J	T					
15. INVESTCO GLOBAL LOW VOLATILITY	A	Dividend			Sold (part)	08/31/16	J	A	
16.					Sold	10/14/16	J	A	

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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17. ISHARES RUSSELLMIDCAP ETF ISIN	A	Dividend	K	T					
18. ISHARES MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	12/01/16	J		
19. ISHARES RUSSELL GROWTH 2000 ETF	A	Dividend	K	T	Sold (part)	12/28/16	J	A	
20. ISHARES MSCI EMERGING MKT	A	Dividend	J	T					
21. FRANKLIN MUTUAL SHARES FD	A	Dividend	J	T					
22. ISHARES S&P 500 GROWTH ETF TR	A	Dividend	J	T					
23. PIMCO TOTAL RETURN CL C	A	Dividend	J	T	Sold (part)	06/28/16	J	A	
24. OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
25. INVESTCO EQUITY & INCOME	B	Dividend	J	T	Sold (part)	04/28/16	J	A	
26.					Sold (part)	08/09/16	J	A	
27. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T					
28. AB LG CAP GROWTH A	A	Dividend	K	T					
29. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER.CLASS C	A	Dividend	J	T					
30. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T					
31. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
32. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T					
33. PIMCO COMM REAL RETURN	A	Dividend	J	T					

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34. 1 SHARES S&P SMCAP 600	A	Dividend	L	T	Buy (add'l)	01/28/16	J		
35.					Buy (add'l)	04/08/16	J		
36. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
37. EAGLE SMALLER COMPANY FUND	A	Dividend	J	T	Sold (part)	04/01/16	J	A	
38. 1 SHARES RUSSELL 2000 ETF	A	Dividend	K	T					
39. PIMCO UNCONSTRAINED	A	Dividend	K	T					
40. ARTISAN INTL INVESTOR	A	Dividend	K	T	Buy (add'l)	04/28/16	J		
41. SALIENT SELECT INC INST	A	Dividend	J	T					
42. ISHARES TR COHEN & STEERS REIT ETF	A	Dividend	J	T					
43. PIMCO HIGH YIELD A	A	Dividend	J	T					
44. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend	K	T					
45. ARTISAN MID-CAP VALUE	A	Dividend	J	T					
46. MAINSTAY ICAP SELECT	A	Dividend	J	T					
47. DEUTSCHE SMALL CAP VALUE	A	Dividend	K	T					
48. GOLDMAN SACHS SATELLITE STRAT PORTFOLIO	A	Dividend	J	T					
49. BLACKROCK EQUITY DIVIDEND	A	Dividend	K	T					
50. FIDELITY ADVISORS FLOATING RATE HIGH INC FD	A	Dividend	J	T					

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51. ISHARES S&P 500 ETF TRUST UNIT	A	Dividend	J	T					
52. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend	K	T					
53. ISHARES RUSSELL TOP 200 VALUE	A	Dividend	K	T					
54. ISHARES S&P MIDCAP 400 VALUE	A	Dividend	J	T					
55. ALLIANZGI NFS INTL VALUE	A	Dividend	J	T					
56. JPMORGAN LARGE CAP GROWTH	A	Dividend	K	T					
57. PIMCO CORPORATE & INCOME OPPORTUNITY FD	A	Dividend	J	T					
58. ISHARES EDGE MSCI MIN VOL EAFE ETF	A	Dividend	K	T	Buy (add'l)	06/16/16	J		
59.					Buy (add'l)	09/23/16	J		
60.					Buy (add'l)	12/22/16	J		
61. AB DISCOVERY VALUE FD	A	Dividend	J	T					
62. COHEN & STEERS REAL ESTATE SECURITIES	A	Dividend	J	T					
63. T.ROWE PRICE GROWTH	A	Dividend	J	T	Buy	03/08/16	J		
64.									

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

VII, PAGE 4 OF 9, LINE 14:

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 5:

NAME CHANGED FROM INVESCO VAN KAMPEN AMERICAN FRANCHISE TO INVESTCO 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 5 OF 9, LINE 22:

NAME CHANGED FROM SPDR S&P 500 ETF TR TO ISHARES S&P 500 GROWTH ETF TR

VII, PAGE 6 OF 9, LINE 37:

NAME CHANGED FROM EAGLE SM CAP FD A TO EAGLE SMALLER COMPANY FUND

VII, PAGE 6 OF 9, LINE 41:

NAME CHANGED FROM FORWARD SELECT INC INST TO SALIENT SELECT INC INST

VII, PAGE 7 OF 9, LINE 51:

NAME CHANGED FROM ISHARES S&P 500 GROWTH TO ISHARES S&P 500 ETF TRUST UNIT

VII, PAGE 7 OF 9, LINE 58:

NAME CHANGED FROM ISHARES MSCI EAFE MIN VOLATIL TO ISHARES EDGE MSCI MIN VOL EAFE ETF

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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