

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 08/10/2009
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11202		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. MEMBER, BOARD OF DIRECTORS

SPECTATOR PUBLISHING COMPANY, INC.

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.

RECEIVED
2009 AUG 11 A 10:36
FINANCIAL
DISCLOSURE OFFICE

Garaufis, Nicholas G

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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. 2008	ABC INC. RETIREMENT PLAN	\$13,053
2.		
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. 2008	CITY UNIVERSITY OF NEW YORK - FORM W-2 WAGES
2. 2008	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
3. 2008	FORESTDALE, INC., FORM 1099-MISC. - CONSULTING INCOME
4. 2008	NATIONAL JAZZ MUSEUM IN HARLEM, 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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PRIME FUND - CAPITAL RESERVES	D	Interest	N	T	Buy (add'l)	02/07	N		
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	K	T					
4. BLACKROCK MID CAP VALUE FUND CLASS A	A	Dividend	K	T					
5. VAN KAMPEN GLOBAL FRANCHISE	A	Dividend	K	T	Sold (part)	02/26	J	A	
6. FIDELITY ADVISOR DIVIDEND GROW TH	A	Dividend	J	T					
7. AIM BASIC VALUE FUND B	A	Dividend			Sold	05/20	J	A	
8. AIM INT. GOVT FUND	A	Dividend			Sold	05/20	J	A	
9. AIM LARGE CAP GROWTH FD CL. B	A	Dividend	J	T					
10. AIM GLOBAL GROWTH FD CL B	A	Dividend	J	T					
11. ALLIANCE BALANCED SHARES CL B	A	Dividend	J	T					
12. AMERICAN CAPITAL WORLD GROW TH & INCOME	A	Dividend	K	T	Sold (part)	01/20	J	A	
13.					Sold (part)	08/06	J	A	
14. ISHARES TR. RUSSELL 1000	A	Dividend	K	T	Buy (add'l)	05/29	J		
15.					Sold (part)	11/14	J	A	
16. WALT DISNEY COMPANY CS	A	Dividend	J	T					
17. FIDELITY ADVISOR INFLATION PRO TECTED BD FD CL A	A	Dividend	K	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 = \$250,000,001 - \$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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. ALLIANCE REAL ESTATE INVESTMENT FUND A	A	Dividend	J	T					
19. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T					
20. ALLIANCE GLOBAL TECHNOLOGY A FUND	A	Dividend	J	T					
21. ALLIANCE GROWTH & INCOME FUND CL B	A	Dividend	K	T					
22. ALLIANCE PREMIER GROWTH FUND CL B	A	Dividend			Sold	05/20	J	A	
23. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
24. EQUIVEST VARIABLE ANNUITY	A	Dividend	K	T					
25. TRUST #1		None			Transferred (to line 67)	06/15	K	D	
26. ABC PENSION PLAN		None	J	T					
27. AIM GLOBAL EQUITY FUND CL B	A	Dividend	J	T					
28. AIM MID CAP CORE EQUITY CL B	A	Dividend			Sold	08/13	K	A	
29. ISHARES MIDCAP	A	Dividend	J	T	Sold (part)	12/10	J	A	
30. ISHARES TRMSCI	A	Dividend	K	T	Sold (part)	02/26	J	A	
31.					Sold (part)	11/14	J	A	
32. ISHARES RUSSELL 2000	A	Dividend	K	T	Buy (add'l)	05/29	J		
33.					Buy (add'l)	01/16	J		
34.					Sold (part)	07/31	J		

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 \$50,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. MUTUAL SERIES CLASS C	A	Dividend	J	T	Sold (part)	12/08	J	A	
36. STANDARD & POORS DEPOSITORY RECEIPTS	A	Dividend	K	T					
37. ROCHESTER LIMITED TERM	A	Dividend			Transferred (to line 44)				
38. PIMCO TOTAL RETURN CL C	A	Dividend	J	T	Sold (part)	02/07	K	A	
39.					Buy (add'l)	10/23	J		
40. PIMCO ALL ASSET ALL AUTH	B	Dividend			Sold	05/12	K	A	
41. OPPENHEIMER GLOBAL FUND	A	Dividend	J	T	Sold (part)	04/29	J	A	
42. VAN KAMPEN EQUITY & INCOME	B	Dividend	L	T					
43. AMERICAN BALANCE	A	Dividend	J	T					
44. OPPENHEIMER LTD. TERM NY MUNI	A	Dividend	J	T	Sold (part)	05/12	J	A	
45.					Sold (part)	06/09	J	A	
46. ALLIANCE BERNSTEIN LG CAP GROWTH B	A	Dividend	J	T					
47. AMERICAN CAPITAL INS. BLDR. A	A	Dividend	K	T					
48. ROCHESTER FD. MUNI A	A	Dividend	J	T					
49. OPPENHEIMER GLOBAL CLASS C	A	Dividend	J	T					
50. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	L	T					
51. AMERICAN HIGH INCOME	B	Dividend	K	T	Buy (add'l)	04/02	J		

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 \$50,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. ALLIANCE GROWTH INCOME CL A	A	Dividend	J	T	Sold (part)	11/06	J	A	
53.					Sold (part)	05/20	J	A	
54. AIM DEVELOPING MKT CL A	A	Dividend	J	T	Buy (add'l)	01/16	J		
55.					Buy (add'l)	12/08	J		
56. OPPENHEIMER INT BD FD	A	Dividend	J	T					
57. VANGUARD INT TERM TAX	A	Dividend	J	T					
58. PIMCO COMM REAL RETURN	A	Dividend	J	T					
59. AIM CONSTELLATION FD CL B	A	Dividend	J	T					
60. GABELLI ASSET FUND	A	Int/Div.			Buy (add'l)	020/8	J		
61. ROYCE TOTAL RET. INV.	A	Dividend	J	T	Buy	06/10	J		
62.					Buy (add'l)	07/21	J		
63. I SHARES S&P SMCAP 600	A	Dividend	J	T	Buy	09/04	J		
64. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T	Buy	04/29	J		
65. EAGLE SM CAP FD A	A	Dividend	J	T	Buy	12/26	J		
66. I SHARES RUSSELL 2000 VALEUE	A	Dividend	J	T	Buy	03/19	J		
67. 2004 TRUST		None	J	T	Transferred (from line 25)	06/15			
68.									

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 \$50,000,000

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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

VII, PAGE 5 OF 9, LINE 25:

TRUST #1 WAS TERMINATED AND THE CASH SURRENDER VALUE OF AN EQUITABLE LIFE INSURANCE COMPANY LIFE INSURANCE POLICY HELD IN TRUST 1 WAS USED TO PURCHASE A TERM LIFE INSURANCE POLICY HELD IN THE 2004 TRUST INCLUDED ON LINE 67 PAGE 7 OF 9.

VII, PAGE 5 OF 9, LINE 26:

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

VII, PAGE 6 OF 9, LINE 37:

ROCHESTER LIMITED TERM IS ALSO KNOWN AS OPPENHEIMER LTD TERM NY MUNICIPAL AND IS INCLUDED IN LINE 44.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

08/10/2009

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

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