

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 07/25/2011
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 01/01/2010 to 12/31/2010
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. MEMBER, BOARD OF DIRECTORS	SPECTATOR PUBLISHING COMPANY, INC.
2. MEMBER, EXECUTIVE COMMITTEE	NEW YORK CITY BAR ASSOCIATION
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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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. 2010	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. 2010	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2010	NEW YORK UNIVERSITY, FORM 1099-MISC - CONSULTING INCOME
3.	
4.	

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.	UNITED STATES TENNIS ASSOCIATION	03/19/10 - 03/22/10	DALLAS, TX	CONFERENCE	TRAVEL
2.	UNITED STATES TENNIS ASSOCIATION	09/04/10 - 09/07/10	NEW YORK, NY	CONFERENCE	TRAVEL
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. PRIME FUND - CAPITAL RESERVES	D	Interest	N	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	L	T	Sold (part)	08/27/10	J	A	
4. BLACKROCK MID CAP VALUE FUND CLASS A	A	Dividend	K	T	Sold (part)	07/30/10	J	A	
5. FIDELITY ADVISOR DIVIDEND GROWTH	A	Dividend			Sold (part)	01/28/10	J	A	
6.					Sold	09/29/10	J	A	
7. INVESTCO LARGE CAP GROWTH FD CL. B	A	Dividend	K	T					
8. INVESTCO GLOBAL GROWTH FD CL B	A	Dividend	K	T					
9. ALLIANCE BALANCED SHARES CL B	A	Dividend	J	T	Sold (part)	06/08/10	J	A	
10. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	K	T					
11. ISHARES TR. RUSSELL 1000	A	Dividend	K	T	Sold (part)	02/22/10	J	A	
12. WALT DISNEY COMPANY CS	A	Dividend			Sold	01/11/10	J	A	
13. FIDELITY ADVISOR INFLATION PROTECTED BD FD CL A	A	Dividend	K	T					
14. ALLIANCE REAL ESTATE INVESTMENT FD A	A	Dividend	K	T					
15. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T	Sold (part)	10/18/10	J	A	
16. ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND	A	Dividend	J	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

3. Value Method Codes
(See Column C2)

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.

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07/25/2011

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)
17.	ALLIANCE GROWTH & INCOME FUND CL B	A	Dividend	K	T	Sold (part)	10/01/10	J	A	
18.						Sold (part)	12/22/10	J	A	
19.	CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
20.	ABC PENSION PLAN		None	J	T					
21.	INVESTCO GLOBAL EQUITY FUND	A	Dividend	J	T	Sold (part)	08/16/10	J	A	
22.	ISHARES MIDCAP	A	Dividend	K	T					
23.	ISHARES TRMSCI	A	Dividend	K	T					
24.	ISHARES RUSSELL 2000	A	Dividend	K	T					
25.	ISHARES MSCI EMERGING MKT	A	Dividend	J	T					
26.	MUTUAL SERIES CLASS C	A	Dividend	J	T					
27.	SPDR S&P 500 ETF TR	A	Dividend	J	T	Sold (part)	05/14/10	J	A	
28.						Sold (part)	06/22/10	K	A	
29.						Sold (part)	02/22/10	J	A	
30.	PIMCO TOTAL RETURN CL C	A	Dividend	J	T	Sold (part)	07/22/10	J	A	
31.						Sold (part)	11/05/10	J	A	
32.	OPPENHEIMER GLOBAL FUND	A	Dividend	J	T					
33.	INVESTCO VAN KAMPEN EQUITY & INCOME	B	Dividend	K	T	Sold (part)	02/09/10	J	A	

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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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 I (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 I (A-H)	(5) Identity of buyer/seller (if private transaction)
34.					Sold (part)	03/18/10	J	A	
35.					Sold (part)	04/20/10	J	A	
36.					Sold (part)	11/19/10	J	A	
37. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T					
38. OPPENHEIMER LTD. TERM NY MUNI	A	Dividend	J	T					
39. ALLIANCE BERNSTEIN LG CAP GROWTH B	A	Dividend	K	T					
40. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER.CLASS C	A	Dividend	J	T					
41. ROCHESTER FD. MUNI A	A	Dividend			Sold	04/09/10	J	A	
42. OPPENHEIMER GLOBAL CLASS C	A	Dividend	K	T					
43. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T					
44. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
45. ALLIANCE BERNSTEIN GROWTH FUND CL A	A	Dividend			Sold	09/29/10	J	A	
46. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T					
47. OPPENHEIMER INT BD FD	A	Dividend	J	T					
48. VANGUARD INT TERM TAX	A	Dividend	J	T	Sold (part)	04/05/10	J	A	
49. PIMCO COMM REAL RETURN	A	Dividend	J	T					
50. GABELLI ASSET FUND	A	Int./Div.			Sold	02/08/10	J	A	

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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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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51. ROYCE TOTAL RET. INV.	A	Dividend	K	T					
52. 1 SHARES S&P SMCAP 600	A	Dividend	K	T					
53. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
54. EAGLE SM CAP FD A	A	Dividend	J	T					
55. 1 SHARES RUSSELL 2000 VALUE	A	Dividend	J	T					
56. 2004 TRUST		None	J	T					
57. RYDEX SGI MGE FUTURES	A	Dividend	J	T					
58. PIMCO UNCONSTRAINED	A	Dividend	K	T	Buy (add'l)	06/08/10	J		
59. ARTISAN INTL INVESTOR	A	Dividend	J	T					
60. FORWARD SELECT INC INST	A	Dividend	J	T	Buy	03/29/10	J		
61. ISHARES TR COHEN & STEERS REALTY	A	Dividend	J	T	Buy	05/06/10	J		
62. PIMCO HIGH YIELD A	A	Dividend	J	T	Buy	07/16/10	J		
63. FORWARD TACTICAL GROWTH FD CL C	A	Dividend	J	T	Buy	05/04/10	J		
64.									
65.									

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

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

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

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

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

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V = Other

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

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

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

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S = Assessment

W = Estimated

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H2 = More than \$5,000,000

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

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

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

VII, PAGE 4 OF 9, LINE 7:

NAME CHANGED FROM AIM LARGE CAP GROWTH FD CL B TO INVESTCO LARGE CAP GROWTH FD CL. B.

VII, PAGE 4 OF 9, LINE 8:

NAME CHANGED FROM AIM GLOBAL GROWTH FD CL B TO INVESTCO GLOBAL GROWTH FD CL B.

VII, PAGE 4 OF 9, LINE 16:

NAME CHANGED FROM ALLIANCE GLOBAL TECHNOLOGY A FUND TO ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND.

VII, PAGE 5 OF 9, LINE 20:

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 5 OF 9, LINE 21:

NAME CHANGED FROM AIM GLOBAL EQUITY FUND CL B TO INVESTCO GLOBAL EQUITY FUND.

VII. PAGE 5 OF 9, LINE 27:

NAME CHANGED FROM STANDARD & POORS DEPOSITORY RECEIPTS TO SPDR S&P 500 ETF TR.

VII. PAGE 5 OF 9, LINE 33:

NAME CHANGED FROM VAN KAMPEN EQUITY & INCOME TO INVESTCO VAN KAMPEN EQUITY & INCOME.

VII, PAGE 6 OF 9, LINE 45:

NAME CHANGED FROM ALLIANCE GROWTH CL A TO ALLIANCE BERNSTEIN GROWTH FUND CL A

VII, PAGE 6 OF 9, LINE 46:

NAME CHANGED FROM AIM DEVELOPING MKT CL A TO INVESTCO DEVELOPING MKT CL A.

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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 WILFULLY 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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Washington, D.C. 20544