

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) GARAUFIS, NICHOLAS G	2. Court or Organization EASTERN DISTRICT OF NEW YORK	3. Date of Report 7/31/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE	5. Report Type (check appropriate type) ☐ Nomination Date 2/28/2000 ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11201	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. Member, Executive Committee	United States Tennis Association
3.	

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

☐ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1. 02/09/97	ABC, INC. PENSION PLAN MONTHLY SURVIVOR BENEFIT.
2. 06/09/95	CITY OF NEW YORK DEFERRED COMPENSATION PLAN. PRETAX CONTRIBUTIONS TO RETIREMENT SAVINGS PROGRAM ARE DISTRIBUTED TO ME AT RATE OF \$5,000 SEMI-ANNUALLY.

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GARAUFIS, NICHOLAS G

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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>GROSS INCOME</u> (yours, not spouse's)
1.	2003	NYC Deferred Compensation	\$10,000
2.	2003	ABC Inc. Retirement Plan	\$13,052

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please 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.	2003	Self-employed - Consultant

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
1.		

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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GARAUFIS, NICHOLAS G

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II. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets) Place "(N)" 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 1 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
[NONE] (No reportable income, assets, or transactions)									
1. Oppenheimer International Growth A	A	Dividend		T	Sold	05/21	L	A	
2. Oppenheimer NY Municipal A	A	Interest	J	T					
3. Oppenheimer Quest Opportunity Value Fund A	A	Dividend	L	T					
4. Oppenheimer Equity Fund Cl. A	A	Dividend	L	T					
5. Pershing Govt. Acct	A	Dividend	L	T	Purchase	11/29	L		
6. MFS Research Fund Class B	A	Dividend		T	Sold	04/30	J	A	
7. Walt Disney Company Common Stock	A	Dividend	J	T					
8. Fidelity Advisor Inflation-Protected Bd Fd Cl. A	A	Dividend	K	T	Purchased	10/02	K		
9. Alliance Real Estate Investment Fund Class A	A	Dividend	L	T					
10. Oppenheimer Quest Small Cap Value Fund	A	Dividend	K	T	Partial Sale	05/08	L	A	
11. Alliance Technology A Fund	A	Dividend	J	T					
12. Alliance Growth & Income Fund Class B	A	Dividend	K	T	Partial Sale	09/26	K	A	
13. Alliance Bernstein Cap Resv	A	Dividend	J	T	Purchase	11/29	J		
14. Alliance Premier Growth Fund Class B	A	Dividend	J	T					
15. Alliance Quasar Fund Class B	A	Dividend	J	T	Partial Sale	07/11	J	A	
16. City of New York Deferred Compensation Plan	A	Dividend	K	T					
17. Equivest Variable Annuity	A	Dividend	K	T					
18. Alliance Technology Fund Class B	A	Dividend		T	Sold	09/26	K	A	

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

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A -H)	Type (e.g. div. rent. or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, 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)
19. Trust #1		None	L	T					
20. ABC Pension Plan		None	J	T					
21. Aim Global Trends Cl. B	A	Dividend	J	T					
22. Aim Mid-Cap Core Equity Cl B	A	Dividend	K	T					
23. Aim Constellation Fd. Cl B	A	Dividend	K	T					
24. Oppenheimer Quest Balanced Value Fund Class A	B	Dividend	L	T					
25. Davis New York Venture Class A	A	Dividend	K	T					
26. Neuberger Berman Focus Fund	A	Dividend	M	T					
27. State Street Mid Cap Value Fund Class A	A	Dividend	L	T					
28. Growth Fund of America Class F	A	Dividend	M	T					
29. Van Kampen Global Franchise	A	Dividend	L	T					
30. Fidelity Advisor Dividend Growth	A	Dividend	J	T					
31. Aim Basic Value Fund B	A	Dividend	J	T					
32. Aim Int. Govt. Fund	A	Dividend	J	T					
33. Aim Blue Chip Fd. Cl. B	A	Dividend	J	T					
34. Aim Global Growth Fd Cl B	A	Dividend	J	T					
35. Alliance Balanced Shares Cl B	A	Dividend	J	T					
36. Alliance Bernstein NY Muni Tr	A	Dividend	K	T	Purchased	11/29	K		

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2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,000-\$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	

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	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
17. Oppenheimer Quest Opportunity Value Cl A	A	Dividend	M	T	Purchased	04/11	M		

1. Income/Gain Codes: (See Columns B1 and D4)	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

VII, Page 1, Line 4:

Name of Investment was changed during 2003 to Oppenheimer Equity Fund Cl. A from Oppenheimer Total Return Fund.

VII, Page 2, Line 19:

Trust #1 is funded with an Equitable Life Insurance Company life insurance policy with a cash surrender value at 12/31/03 of \$45,365

VII, Page 2, Line 20:

ABC, Inc. Pension Plan. I am designated to receive monthly pension benefits under [REDACTED] pension plan. Section III, Line 2 for income received. These payments will cease upon my death.

VII, Page 2, Lines 21, 22, 23, and Lines 33, 34 and 35:

Rollover IRA of [REDACTED] was inadvertently omitted on prior year's filing. These investments represent the holdings of Spouse's IRA.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

8/5/04

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