

FINANCIAL DISCLOSURE REPORT
Nomination Report

1. Person Reporting (Last name, first, middle initial) Garaufis, Nicholas G.	2. Court or Organization Eastern District of New York	3. Date of Report 02/29/2000
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 type) X Nomination, Date 02/28/2000 Initial Annual Final	6. Reporting Period 01/01/1998 to 01/31/2000
7. Chambers or Office Address Federal Aviation Admin. 800 Independence Avenue, SW Washington, DC 20591	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 section where you have no reportable information. Sign on the last page.		

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☒ NONE (No reportable positions.)	
1	
2	
3	

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

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1 02/09/97	ABC, Inc. Pension Plan monthly survivor benefit, payable to me beginning no sooner than 1/1/02. Monthly benefit will be adjusted based on date elected.
2 06/09/95	City of New York Deferred Compensation Plan. Pre-tax contributions to retirement-savings program are distributed to me at rate of \$5,000 semi-annually
3 06/09/95	City of New York Employees Retirement System pension contributions. Contributions are subject to withdrawal at any time.

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☒ NONE (No reportable non-investment income.)		
1		
2		
3		
4		

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	Garaufis, Nicholas G.	02/29/2000

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

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	EXEMPT	
2		
3		
4		
5		
6		
7		

V. GIFTS

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1	EXEMPT		
2			
3			

VI. LIABILITIES

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

* VAL CODES:J=\$15,000 or less	K=\$15,001-\$50,000	L=\$50,001 to \$100,000	M=\$100,001-\$250,000	N=\$250,001-\$500,000
0=\$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=\$50,000,001 or more

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets <i>Indicate where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(X)" after each asset exempt from prior disclosure.</i>		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐	NONE (No reportable income, assets, or transactions.)									
1	Oppenheimer Capital Income A Fund	E	Dividend	M		EXEMPT				
2	Oppenheimer International Growth A Fund	D	Dividend	M		EXEMPT				
3	Oppenheimer New York Municipal A Fund	B	Dividend	K		EXEMPT				
4	Oppenheimer Quest Opportunity A Fund	E	Dividend	M		EXEMPT				
5	Oppenheimer Total Return A Fund	E	Dividend	M		EXEMPT				
6	MFS Research Fund	C	Dividend	J		EXEMPT				
7	Walt Disney Company Common Stock	A	Dividend	J		EXEMPT				
8	Alliance Growth A Fund	E	Dividend	M		EXEMPT				
9	Alliance Premier Growth A Fund	E	Dividend	M		EXEMPT				
10	Alliance Quasar A Fund	D	Dividend	M		EXEMPT				
11	Alliance Real Estate Fund	A	Dividend	J		EXEMPT				
12	Oppenheimer Quest Small Cap Fund	D	Dividend	L		EXEMPT				
13	Alliance Technology A Fund	A	Dividend	K		EXEMPT				
14	Alliance Growth & Income B	B	Dividend	J		EXEMPT				
15	Alliance Growth B Fund	A	Dividend	J		EXEMPT				
16	Alliance Premier Growth B Fund	A	Dividend	J		EXEMPT				
17	Alliance Quasar Fund B	A	Dividend	J		EXEMPT				
1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4) 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=\$5,000,001 or more		E=\$15,001-\$50,000		
2 Val Codes: J=\$15,000 or less (Col. C1, D3) O=\$500,001-\$1,000,000		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more		
3 Val Mth Codes: Q=Appraisal (Col. C2) U=Book Value		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market				

VII. Page 2 INVESTMENTS and TRUSTS-- income, value, transactions

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
<i>Indicate where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i>		(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
							(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income,assets, or transactions.)										
18	City of New York Deferred Compensation Plan	D	Dividend	K		EXEMPT				
19	City of New York Employees Retirement System	A	Dividend	J		EXEMPT				
20	Equivest Variable Annuity	D	Dividend	K		EXEMPT				
21	Triboro Bridge Revenue Bond	A	Interest	J		EXEMPT				
22	New York State Medical Facilities Rev. Bond	A	Interest	J		EXEMPT				
23	New York State Environmental Facilities bond	A	Interest	J		EXEMPT				
24	NY City Transit, AU/Livingston Bond	A	Interest	J		EXEMPT				
25	Oppenheimer Equity Income A Fund	E	Dividend	M		EXEMPT				
26	Alliance Technology B Fund	D	Dividend	M		EXEMPT				
27	Nicholas G. Garaufis 1997 Family Trust	D	Dividend	L		EXEMPT				
28	ABC, Inc. Pension Plan		None			EXEMPT				
29										
30										
31										
32										
33										
34										

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)		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=\$5,000,001 or more		E=\$15,001-\$50,000	
2 Val Codes: J=\$15,000 or less (Col. C1, D3)		K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000		L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000		M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000		N=\$250,001-\$500,000 P4=\$50,000,001 or more	
3 Val Mth Codes: Q=Appraisal (Col. C2)		R=Cost (real estate only) V=Other		S=Assessment W=Estimated		T=Cash/Market			

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Garaufis, Nicholas G.

Date of Report
02/29/2000

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)
:

Section VII, Item 28. ABC, Inc. Pension Plan. I am designated to receive monthly pension benefits under my late wife's pension plan. I may elect to receive benefits on or after January 1, 2002. Monthly benefit is approximately \$1,000 if I elect to receive benefits on the earliest date.

IX. CERTIFICATION

In compliance with the provisions of 28 U.S.C. 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

2/29/00**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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

**Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544**

FINANCIAL STATEMENT

NET WORTH

12/28/99

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks	3,748	12		Notes payable to banks-secured	19,514	50	
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule	1,667,727	10		Notes payable to relatives			
Unlisted securities-add schedule				Notes payable to others			
Accounts and notes receivable				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid tax and interest			
Doubtful				Real estate mortgages payable-add schedule	91,514	60	
Real estate owned-add schedule	405,000	00		Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize: NONE			
Automobile and other personal property	31,000	00		All other debts are			
Cash value-life insurance	49,407	40		paid in full by due date			
Other assets-itemize:	173,656	87					
				Total Liabilities	111,029	10	
				Net Worth	2,221,510	39	
Total Assets	2,332,539	49		Total Liabilities and net worth	2,332,539	49	
CONTINGENT LIABILITIES	NONE			GENERAL INFORMATION			
As endorser, cosigner or guarantor				Are any assets pledged? (Add schedule.)	NO		
On leases or contracts				Are you defendant in any suits or legal actions?	NO		
Legal Claims				Have you ever taken bankruptcy?	NO		
Provision for Federal Income Tax							
Other special debt							