

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 08/05/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11201		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
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. 2019	ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENST INSTITUTIONAL OPERATORS)	\$11,422.00
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. 2019	CITIZENS BUDGET COMMISSION, FORM 1099-MISC - CONSULTING INCOME
2. 2019	JPMORGAN CHASE, FORM 1099-R - PENSION 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.				
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.)*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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Name of Person Reporting

GARAUFIS, NICHOLAS G.

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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. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
2. ABC PENSION PLAN		None	J	T					
3. AB BERNSTEIN	B	Interest	L	T					
4. BERNSTEIN DIVERSIFIED MUNICIPAL PORTFOLIO	B	Dividend	L	T	Buy (add'l)	1/18/19	J		
5.					Buy (add'l)	02/20/19	J		
6.					Buy (add'l)	03/20/19	J		
7.					Buy (add'l)	04/18/19	J		
8.					Buy (add'l)	05/20/19	J		
9.					Buy (add'l)	06/20/19	J		
10.					Buy (add'l)	07/19/19	J		
11.					Buy (add'l)	08/20/19	J		
12.					Buy (add'l)	09/20/19	J		
13.					Buy (add'l)	10/18/19	J		
14.					Buy (add'l)	11/20/19	J		
15.					Buy (add'l)	12/20/19	J		
16.									
17. AB TAX MANAGED WEALTH APPRECIATION STRATEGY ADV CL	D	Dividend	N	T	Sold (part)	01/25/19	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 \$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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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	12/18/19	K		
19.					Sold (part)	04/24/19	J	A	
20.					Sold (part)	07/24/19	J	A	
21.					Sold (part)	10/23/19	J	A	
22.									
23.	AB WEALTH APPRECIATION STRATEGY FD ADV CL	E	Dividend	P1	T	Buy (add'l)	04/15/19	J	
24.					Sold (part)	01/25/19	K	B	
25.					Sold (part)	4/24/19	J	A	
26.					Sold (part)	06/25/19	K	A	
27.					Sold (part)	7/24/19	J	A	
28.					Sold (part)	10/23/19	J	A	
29.					Sold (part)	12/20/19	J	A	
30.					Buy (add'l)	12/18/19	L		
31.									
32.	BERNSTEIN INTERMEDIATE DURATION PORTFOLIO	D	Dividend	M	T	Buy (add'l)	01/18/19	J	
33.					Sold (part)	01/25/19	J	A	
34.					Buy (add'l)	02/20/19	J		

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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	
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	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	03/20/19	J		
36.					Buy (add'l)	04/15/19	J		
37.					Buy (add'l)	05/20/19	J		
38.					Buy (add'l)	06/20/19	J		
39.					Buy (add'l)	07/19/19	J		
40.					Buy (add'l)	08/20/19	J		
41.					Buy (add'l)	09/20/19	J		
42.					Buy (add'l)	10/18/19	J		
43.					Buy (add'l)	11/20/19	J		
44.					Buy (add'l)	12/20/19	J		
45.									
46.	AB GLOBAL BOND FUND CL ADVISOR	D	Dividend	M	T	Buy (add'l)	01/03/19	J	
47.					Buy (add'l)	02/04/19	J		
48.					Buy (add'l)	03/04/19	J		
49.					Buy (add'l)	04/15/19	J		
50.					Buy (add'l)	05/02/19	J		
51.					Buy (add'l)	06/04/19	J		

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	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, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	07/02/19	J		
53.					Buy (add'l)	08/02/19	J		
54.					Buy (add'l)	09/04/19	J		
55.					Buy (add'l)	10/02/19	J		
56.					Buy (add'l)	11/04/19	J		
57.					Buy (add'l)	12/03/19	J		
58.					Sold (part)	1/25/19	J		
59.									
60. 5263 SHS OVER UNDER COFFEE LIMITED		None	J	T	Buy	11/19/19	J		

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

PART VII, PAGE 4 OF 9, LINE 2:

ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE AMONTHLY PENSION BENEFITS UNDER MY LATE WIFE'S PENSION PLAN.

PART III, LINE 1 DISCLOSES INCOME RECEIVED. THESE PAYMENTS WILL CEASE UPON MY DEATH.

PART VII, LINE 3:

NAME CHANGED FROM SANFORD C. BERNSTEIN & CO TO AB BERNSTEIN.

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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