

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 07/31/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11202		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

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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. 2014	ABC INC. RETIREMENT PLAN - PENSION INCOME	\$11,422.00
2. 2014	YESHIVA UNIVERSITY - TEACHING	\$14,571.00
3. 2014	COLUMBIA UNIVERSITY - TEACHING	\$37,500.00
4. 2014	JUDICIAL RETIREES & SURVIVORS - PENSION INCOME	\$31,878.00
5. 2014	NATIONAL FINANCIAL SERVICES - PENSION INCOME	\$20,000.00
6.		

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. 2014	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2014	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION INCOME
3. 2014	FEDCAP REHABILITATION SERVICES, FORM 1099-MISC - CONSULTING INCOME
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. FEDERAL BAR COUNCIL FALL BENCH AND BAR RETREAT	OCTOBER 24 - 26, 2014	POCONO MANOR, PA	CLE PANELIST	LODGING AND MEALS
3.				
4.				

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GARAUFIS, NICHOLAS G.	07/31/2015

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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 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 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. RCA CAPITAL GROUP LLC BANK DEPOSIT SWEEP PROGRAM	A	Interest	K	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	L	T	Sold (part)	06/20/14	J		
4. BLACKROCK FLEXIBLE EQUITY FD CL A	A	Dividend	K	T	Sold (part)	01/24/14	J		
5. INVESTCO AMERICAN FRANCHISE	A	Dividend	K	T	Sold (part)	11/25/14	J		
6. INVESTCO GLOBAL GROWTH FD CL B	A	Dividend	K	T					
7. ALLIANCE BALANCED SHARES CL B	A	Dividend	J	T					
8. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	L	T					
9. ISHARES TR. RUSSELL 1000 VALUE ETF	A	Dividend	K	T					
10. ALLIANCE GLOBAL REAL ESTATE INVESTMENT FD A	A	Dividend	K	T					
11. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T					
12. ALLIANCEBER GROWTH & INCOME FUND CL B	A	Dividend	K	T					
13. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
14. ABC PENSION PLAN		None	J	T					
15. INVESTCO GLOBAL LOW VOLATILITY	A	Dividend	J	T					
16. ISHARES RUSSELLMIDCAP ETF ISIN	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 = \$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) 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. ISHARES MSCI EAFE ETF	A	Dividend	K	T					
18. ISHARES RUSSELL GROWTH 2000 ETF	A	Dividend	K	T					
19. ISHARES MSCI EMERGING MKT	A	Dividend	J	T	Buy (add'l)	02/25/14	J		
20. FRANKLIN MUTUAL SHARES FD	A	Dividend	J	T					
21. SPDR S&P 500 ETF TR	A	Dividend	J	T					
22. PIMCO TOTAL RETURN CL C	A	Dividend	J	T					
23. OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
24. INVESTCO EQUITY & INCOME	B	Dividend	K	T	Sold (part)	08/25/14	J	A	
25.					Sold (part)	10/31/14	J	A	
26. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T	Sold (part)	06/26/14	J	A	
27.					Sold (part)	07/03/14	J	A	
28. ALLIANCEBER LG CAP GROWTH B	A	Dividend	K	T					
29. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER CLASS C	A	Dividend	J	T					
30. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T	Sold (part)	04/01/14	J	A	
31. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
32. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T	Buy (add'l)	11/20/14	J		
33. PIMCO COMM REAL RETURN	A	Dividend	J	T					

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34. ROYCE TOTAL RET. INV.	A	Dividend	J	T					
35. I SHARES S&P SMCAP 600	A	Dividend	K	T					
36. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
37. EAGLE SM CAP FD A	A	Dividend	J	T					
38. I SHARES RUSSELL 2000 VALUE	A	Dividend	J	T					
39. PIMCO UNCONSTRAINED	A	Dividend	K	T					
40. ARTISAN INTL INVESTOR	A	Dividend	K	T	Buy (add'l)	07/21/14	J		
41. FORWARD SELECT INC INST	A	Dividend	J	T					
42. ISHARES TR COHEN & STEERS REALTY	A	Dividend	J	T					
43. PIMCO HIGH YIELD A	A	Dividend	J	T					
44. FORWARD TACTICAL GROWTH FD CL C	A	Dividend	J	T					
45. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend	K	T					
46. ARTISAN MID-CAP VALUE	A	Dividend	J	T					
47. MAINSTAY ICAP SELECT	A	Dividend	J	T					
48. DEUTSCHE SMALL CAP VALUE	A	Dividend	J	T					
49. GOLDMAN SACHS SATELLITE STRAT PORTFOLIO	A	Dividend	J	T					
50. BLACKROCK EQUITY DIVIDEND	A	Dividend	J	T	Buy (add'l)	10/09/14	J		

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51. FIDELITY ADVISORS FLOATING GHIGH INC FD	A	Dividend	J	T					
52. ISHARES S&P 500 GROWTH	A	Dividend	J	T					
53. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend	J	T	Buy (add'l)	01/06/14	J		
54. ISHARES RUSSELL TOP 200 VALUE	A	Dividend	J	T	Buy (add'l)	01/31/14	J		
55. ISHARES S&P MIDCAP 400 VALUE	A	Dividend	J	T					
56. PIMCO ALL ASSET ALL ACTIVITY	A	Dividend			Sold	06/02/14	J	A	
57. ALLIANZGI NFS INTL VALUE	A	Dividend	J	T	Buy (add'l)	01/31/14	J		
58. JPMORGAN LARGE CAP GROWTH	A	Dividend	J	T					
59. PIMCO CORPORATE & INCOME OPPORTUNITY FD	A	Dividend	J	T	Buy	10/03/14	J		

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

VII, PAGE 5 OF 10, LINE 14:

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

VII, PAGE 5 OF 10, LINE 5:

NAME CHANGED FROM INVESTCO VAN KAMPEN AMERICAN FRANCHISE TO INVESCO AMERICAN FRANCHISE.

VII, PAGE 5 OF 10, LINE 9:

NAME CHANGED FROM ISHARES TR. RUSSELL 1000 TO ISHARES TR. RUSSELL 1000 VALUE ETF.

VII, PAGE 5 OF 10, LINE 10:

NAME CHANGED FROM ALLIANCE REAL ESTATE INVESTMENT FD A TO ALLIANCE GLOBAL REAL ESTATE INVESTMENT FD A.

VII, PAGE 5 OF 10, LINE 12:

NAME CHANGED FROM ALLIANCE GROWTH & INCOME FUND CL B TO ALLIANCEBER GROWTH & INCOME FUND CL B.

VII, PAGE 5, LINE 16:

NAME CHANGED FROM ISHARES MIDCAP TO ISHARES RUSSELL MIDCAP ETF ISIN.

VII, PAGE 6 OF 10, LINE 18:

NAME CHANGED FROM ISHARES RUSSELL 2000 TO ISHARES RUSSELL GROWTH 2000 ETF.

VII, PAGE 6 OF 10, LINE 20:

NAME CHANGED FROM MUTUAL SERIES CLASS C TO FRANKLIN MUTUAL SHARES FD.

VII, PAGE 6 OF 10, LINE 24:

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

VII, PAGE 6 OF 10, LINE 28:

NAME CHANGED FROM ALLIANCE BERNSTEIN LG CAP GROWTH B TO ALLIANCEBER LG CAP GROWTH B.

VII, PAGE 7 OF 10, LINE 48:

NAME CHANGED FROM DWS DREMAN SM CAP VALUES TO DEUTSCHE SMALL CAP VALUE.

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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