

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 07/16/2018
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
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. 2017	ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENTS INSTITUTIONAL OPERATIONS)	\$11,422.00
2. 2017	COLUMBIA UNIVERSITY SCHOOL OF LAW - TEACHING	\$28,333.00
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. 2017	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2017	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION INCOME
3. 2017	MAIMONIDES MEDICAL CENTER, FORM 1099-MISC - CONSULTING INCOME
4. 2017	NATIONAL FINANCIAL SERVICES, FORM 1099-R - PENSION INCOME
5. 2017	FEDCAP REHABILITATION, FORM 1099-MISC - CONSULTING INCOME

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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. RCA CAPITAL GROUP LLC BANK DEPOSIT SWEEP PROGRAM	A	Interest			Closed	08/21/17	O	A	
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend			Sold	08/27/17	K	A	
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend			Sold	08/21/17	K	A	
4. BLACKROCK ADVANTAGE LARGE CAP FD CL A	A	Dividend			Sold	08/21/17	K	A	
5. INVESTCO AMERICAN FRANCHISE CL A	A	Dividend			Sold	08/22/17	K	A	
6. INVESTCO GLOBAL GROWTH FD CL A	A	Dividend			Sold	08/22/17	K	A	
7. AMERICAN BALANCED SHARES CL FI	A	Dividend			Sold	08/22/17	J	A	
8. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend			Sold	08/21/17	L	A	
9. ISHARES TR. RUSSELL 1000 VALUE ETF	A	Dividend			Sold (part)	08/21/17	K	A	
10.					Sold	08/24/17	J	A	
11. AB GLOBAL REAL ESTATE INVESTMENT CL A	A	Dividend			Sold	08/21/17	K	A	
12. OPPENHEIMER MID CAP VALUE FUND	A	Dividend			Sold	08/21/17	K	A	
13. AB RELATIVE VALUE FUND CL A	A	Dividend			Sold	08/22/17	K	A	
14. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
15. ABC PENSION PLAN		None	J	T					
16. ISHARES RUSSELLMIDCAP ETF ISIN	A	Dividend			Sold (part)	08/21/17	K	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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17.					Sold	08/24/17	J	A	
18. ISHARES MSCI EAFE ETF	A	Dividend			Buy (add'l)	03/08/17	J		
19.					Sold (part)	08/21/17	K	A	
20.					Sold (part)	08/22/17	K	A	
21.					Sold (part)	08/24/17	J	A	
22.					Sold	08/25/17	J	A	
23. ISHARES RUSSELL GROWTH 2000 ETF	A	Dividend			Sold (part)	08/21/17	K	A	
24.					Sold	08/22/17	J	A	
25. ISHARES MSCI EMERGING MKT	A	Dividend			Sold (part)	08/21/17	J	A	
26.					Sold (part)	08/22/17	J	A	
27.					Sold	08/24/17	J	A	
28. FRANKLIN MUTUAL SHARES FD	A	Dividend			Sold	08/22/17	J	A	
29. ISHARES S&P 500 GROWTH ETF TR	A	Dividend			Sold	08/22/17	J	A	
30. PIMCO TOTAL RETURN CL C	A	Dividend			Sold (part)	08/22/17	J	A	
31.					Sold	08/25/17	J	A	
32. OPPENHEIMER GLOBAL FUND	A	Dividend			Sold (part)	08/21/17	K	A	
33.					Sold	08/22/17	J	A	

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34. INVESTCO EQUITY & INCOME	B	Dividend			Sold (part)	04/12/17	J	A	
35.					Sold	05/31/17	J	A	
36. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend			Sold	08/22/17	J	A	
37. AB LG CAP GROWTH A	A	Dividend			Sold (part)	08/21/17	J	A	
38.					Sold	08/22/17	K	A	
39. AMERICAN FUNDS: AMERICAN CAPITAL INCOME BUILDER.CLASS C	A	Dividend			Sold	08/22/17	J	A	
40. AMERICAN GROWTH FD OF AMERICA C	B	Dividend			Sold (part)	08/01/17	J	A	
41.					Sold (part)	08/21/17	M	A	
42.					Sold	08/22/17	J	A	
43. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend			Sold	08/21/17	K	A	
44. INVESTCO DEVELOPING MKT CL A	A	Dividend			Sold (part)	08/21/17	K	A	
45.					Sold	08/22/17	J	A	
46. PIMCO COMM REAL RETURN	A	Dividend			Sold	02/08/17	J	A	
47. I SHARES S&P SMCAP 600	A	Dividend			Buy (add'l)	08/01/17	J		
48.					Sold (part)	08/21/17	L	A	
49.					Sold	08/22/17	J	A	
50. COLUMBIA SM CAP VAL II CIA	A	Dividend			Sold	08/22/17	J	A	

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51. EAGLE SMALLER COMPANY FUND	A	Dividend			Sold	08/22/17	J	A	
52. 1 SHARES RUSSELL 2000 ETF	A	Dividend			Sold (part)	08/21/17	K	A	
53.					Sold (part)	08/22/17	J	A	
54.					Sold	08/24/17	J	A	
55. PIMCO UNCONSTRAINED	A	Dividend			Sold (part)	08/21/17	K	A	
56.					Sold	08/22/17	J	A	
57. ARTISAN INTL INVESTOR	A	Dividend			Sold (part)	08/21/17	K	A	
58.					Sold	08/22/17	K	A	
59. SALIENT SELECT INC INST	A	Dividend			Sold	08/22/17	J	A	
60. ISHARES TR COHEN & STEERS REIT ETF	A	Dividend			Sold (part)	08/21/17	J	A	
61.					Sold (part)	08/22/17	J	A	
62.					Sold	08/24/17	J	A	
63. PIMCO HIGH YIELD A	A	Dividend			Sold	08/22/17	J	A	
64. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend			Sold	08/22/17	K	A	
65. ARTISAN MID-CAP VALUE	A	Dividend			Sold	08/22/17	J	A	
66. MAINSTAY EPOCH US EQUITY YIELD FD	A	Dividend			Sold	08/21/17	J	A	
67. DEUTSCHE SMALL CAP VALUE	A	Dividend			Sold	08/21/17	K	A	

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68. GOLDMAN SACHS SATELLITE STRAT PORTFOLIO	A	Dividend			Sold	08/22/17	J	A	
69. BLACKROCK EQUITY DIVIDEND	A	Dividend			Sold	08/22/17	K	A	
70. FIDELITY ADVISORS FLOATING RATE HIGH INC FD	A	Dividend			Sold	08/22/17	J	A	
71. SPDR S&P 500 ETF	A	Dividend			Sold	08/21/17	J	A	
72. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend			Buy (add'l)	05/31/17	J		
73.					Buy (add'l)	07/13/17	J		
74.					Sold	08/22/17	K	A	
75. ISHARES RUSSELL TOP 200 VALUE	A	Dividend			Buy (add'l)	02/08/17	J		
76.					Buy (add'l)	06/15/17	J		
77.					Sold (part)	08/21/17	K	A	
78.					Sold	08/24/17	J	A	
79. ISHARES S&P MIDCAP 400 VALUE	A	Dividend			Buy (add'l)	03/24/17	J		
80.					Buy (add'l)	05/09/17	J		
81.					Buy (add'l)	08/16/17	J		
82.					Sold (part)	08/21/17	J	A	
83.					Sold	08/22/17	J	A	
84. ALLIANZGI NFS INTL VALUE	A	Dividend			Sold	08/21/17	J	A	

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85. JPMORGAN LARGE CAP GROWTH	A	Dividend			Sold	08/22/17	K	A	
86. PIMCO CORPORATE & INCOME OPPORTUNITY FD	A	Dividend			Sold (part)	08/21/17	J	A	
87.					Sold	08/24/17	J	A	
88. ISHARES EDGE MSCI MIN VOL EAFE ETF	A	Dividend			Sold	08/21/17	K	A	
89. AB DISCOVERY VALUE FD	A	Dividend			Sold	08/22/17	J	A	
90. COHEN & STEERS REAL ESTATE SECURITIES	A	Dividend			Sold	08/22/17	J	A	
91. T. ROWE PRICE GROWTH	A	Dividend			Sold	08/21/17	J	A	
92.									
93. SANFORD C. BERNSTEIN & CO	A	Interest	N	T	Open	08/25/17	N		
94. BERNSTEIN DIVERSIFIED MUNICIPAL PORTFOLIO	A	Dividend	K	T	Buy	09/06/17	K		
95. AB TAX-MANAGED WEALTH APPRECIATION STRAT-ADV	A	Dividend	M	T	Buy	09/06/17	M		
96.					Sold (part)	10/24/17	J	A	
97. AB GLOBAL BOND FUND - ADV	A	Dividend	M	T	Buy	09/06/17	M		
98.					Buy (add'l)	09/07/17	K		
99. BERNSTEIN INTERMEDIATE DURATION	A	Dividend	M	T	Buy	09/06/17	M		
100.					Buy (add'l)	09/07/17	K		
101. AB WEALTH APPRECIATION STRATEGY FD ADV	A	Dividend	P1	T	Buy	09/06/17	P1		

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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)
102.					Buy (add'l)	09/07/17	K		
103.					Buy (add'l)	09/08/17	K		
104.					Sold (part)	10/24/17	J	A	
105.									
106.									
107.									

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

07/16/2018

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

VII, PAGE 4 OF 12, LINE 15:

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 4 OF 12, LINE 4:

NAME CHANGED FROM BLACK ROCK FLEXIBLE EQUITY FD TO BLACK ROCK ADVANTAGE LARGE-CAP GROWTH FD INVESTOR.

VII, PAGE 4 OF 12, LINE 13:

NAME CHANGED FROM AB GROWTH & INCOME FUND CL A TO AB RELATIVE VALUE FUND CL A.

VII, PAGE 7 OF 12, LINE 66:

NAME CHANGED FROM MAINSTAY ICAP SELECT TO MAINSTAY EPOCH US EQUITY YIELD FD.

VII, PAGE 8 OF 12, LINE 71:

NAME CHANGED FROM ISHARES S&P 500 ETF TRUST UNIT TO SPDR S&P 500 ETF.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

GARAUFIS, NICHOLAS G.

Date of Report

07/16/2018

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
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Washington, D.C. 20544