

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2006**

*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 07/31/2007
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) <input type="checkbox"/> Nomination, <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
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 instructions.)*

NONE *(No reportable positions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Directors	Spectator Publishing Company, Inc.
2.	Member, Executive Committee	United States Tennis Association
3.		
4.		
5.		

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

NONE *(No reportable agreements.)*

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 02/09/97	ABC, INC. PENSION PLAN MONTHLY SURVIVOR BENEFIT.
2.	
3.	

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Name of Person Reporting

GARAUFIS, NICHOLAS G

Date of Report

07/31/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2006	ABC Inc. Retirement Plan	\$ 13,053
2.		
3.		
4.		
5.		

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. 2006	Not-for-profit Consultant - Self-employed
2. 2006	City University of New York - Form W-2 wages
3.	
4.	
5.	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)* NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. U.S. Tennis Association	Received \$580.60 expense reimbursement to attend USTA annual meeting March 21 - 23, 2006
2.	
3.	
4.	
5.	

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

NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

GARAUFIS, NICHOLAS G

Date of Report

07/31/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Oppenheimer NY Municipal A	A	Interest	K	T					
2. Oppenheimer Quest Opportunity Value Fund A									
3. Oppenheimer Equity Fund Cl. A	A	Dividend	K	T	Partial Sale	Var	K	A	
4. Pershing Govt. Acct	A	Dividend	K	T					
5. Walt Disney Company Common Stock	A	Dividend	J	T					
6. Fidelity Advisor Inflation-Protected Bd Fd Cl A	A	Dividend	K	T					
7. Alliance Real Estate Investment Fund Class A	A	Dividend	K	T					
8. Oppenheimer Quest Small Cap Value Fund	A	Dividend	K	T					
9. Alliance Global Technology A Fund	A	Dividend	J	T	Partial Sale	09/08	J	A	
10. Alliance Growth & Income Fund Class B	A	Dividend	L	T					
11. Alliance Premier Growth Fund Class B	A	Dividend	J	T					
12. City of New York Deferred Compensation Plan	A	Dividend	K	T					
13. Equivest Variable Annuity	A	Dividend	K	T					
14. Trust #1		None	L	T					
15. ABC Pension Plan		None	J	T					
16. Aim Global Equity Fund Cl. B	A	Dividend	K	T					
17. Aim Mid-Cap Core Equity Cl B	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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P4 = More than \$50,000,000
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting GARAUFIS, NICHOLAS G	Date of Report 07/31/2007
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Aim Constellation Fd. Cl B	A	Dividend	K	T					
19. Oppenheimer Quest Balanced Value Fund Class A	B	Dividend	K	T	Partial Sale	Var	K	C	
20. Davis New York Venture Class A	A	Dividend	K	T	Purchase	Var	J		
21. Neuberger Berman Focus Fund	A	Dividend	L	T	Partial Sale	10/27	J	A	
22. Blackrock Mid Cap Value Fund Class A	A	Dividend	L	T	Partial Sale	04/17	J	A	
23. Growth Fund of America Class F	A	Dividend	M	T	Purchase	01/24	J		
24. Van Kampen Globel Franchise	A	Dividend	L	T					
25. Fidelity Advisor Dividend Growth	A	Dividend	J	T					
26. Aim Basic Value Fund B	A	Dividend	J	T					
27. Aim Int. Govt. Fund	A	Dividend	J	T					
28. Aim Large Cap Growth Fd. Cl. B	A	Dividend	K	T					
29. Aim Global Growth Fd Cl B	A	Dividend	K	T					
30. Alliance Balanced Shares Cl B	A	Dividend	K	T					
31. Alliance Bernstein NY Muni Tr	A	Dividend	L	T					
32. American Capital World Growth & Income	A	Dividend	L	T					
33. Gabelli Asset Fund	A	Dividend	J	T	Partial Sale	05/02	J	B	
34. Ishares Tr Russell 1000	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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Name of Person Reporting GARAUFIS, NICHOLAS G	Date of Report 07/31/2007
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35. Ishares Midcap	A	Dividend	K	T	Purchase	07/13	J		
36. Ishares Tr MSCI	A	Dividend	K	T	Purchase	01/18	J		
37. Ishares Russell 2000	A	Dividend	K	T	Partial Sale	08/02	J	B	
38. Mutual Series Shares Class A	A	Dividend	J	T					
39. Standard & Poors Depository Receipt	A	Dividend	L	T	Purchase	5/11	J		
40. Rochester Limited Term (Oppenheimer NY Muni)	A	Dividend	K	T	Purchase	12/22	J		
41. Pimco Low Duration	A	Dividend	K	T	Partial Sale	06/01	J	A	
42. Pimco Total Return Cl. C	A	Dividend	K	T					
43. Pimco All Asset All Auth	B	Dividend	K	T	Purchase	Var	K		
44. Oppenheimer Global Fund	A	Dividend	K	T	Purchase	03/02	J		
45. Van Kampen Equity & Income	B	Dividend	L	T	Purchase	06/02	J		
46.					Purchase	11/30	J		
47. American Balance	A	Dividend	J	T	Partial Sale	05/03	J	B	
48. Franklin Mutual Series Cl C	A	Dividend	J	T					
49. Oppenheimer Ltd. Term NY Muni	A	Dividend							
50. Alliance Bernstein Lg Cap Growth B	A	Dividend	J	T					
51. American Capital Inc. Bldr. A	A	Dividend	J	T	Purchase	6/16	J		

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52. Aim Trimark	A	Dividend	J	T	Purchase	10/13	J		
53. Rochester Fd. Muni A	A	Dividend	J	T	Purchase	11/22	J		
54. Oppenheimer Global Cl. C	A	Dividend	J	T	Purchase	6/20	J		
55. American Growth Fd of America C	B	Dividend	J	T	Partial Sale	Var	J	A	
56. American High Income	B	Dividend	K	T	Purchase	Var	J		
57. Alliance Growth Income Cl A	A	Dividend	J	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 HI =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

VII, Page 1, Line 2:

Oppenheimer Quest Opportunity Value Fund A was sold in 2005 and reported on Line 33 of the 2005 Disclosure Report, but was erroneously left on Schedule on Line 2. Therefore, no value or activity is being reported for 2006.

VII, Page 1, Line 14:

Trust #1 is funded with an Equitable Life Insurance Company life insurance policy with a cash surrender value at 12/31/06 of \$42,529.

VII, Page 1, Line 15:

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

VII, Page 1, Line 16:

Name changed from Aim Global Trends Cl B to Aim Global Equity Fd Cl B.

VII, Page 2, Line 28:

Name changed from Aim Blue Chip Fd Cl B to Aim Large-Cap Growth Cl B.

VII, Page 3, Line 49:

Oppenheimer Ltd Term NY Muni is same fund as Rochester Limited Term (Line 40) and is included in Line 40.

VII, Page 4, Line 57:

Previously included in Alliance Growth & Income Fd B, Line 10.

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GARAUFIS, NICHOLAS G

Date of Report

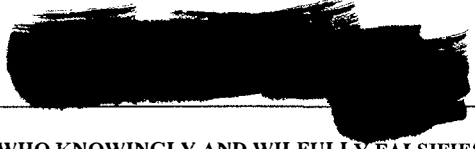
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IX. CERTIFICATION.

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 _____



Date _____

8/9/07

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