AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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)	2. Court or Organization	3. Date of Report
GARAUFIS, NICHOLAS G.	EASTERN DISTRICT OF NEW YORK	07/29/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
UNITED STATES DISTRICT JUDGE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012
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.	MEMBER, EXECUTIVE COMMITEE	NEW YORK CITY BAR ASSOCIATION
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.		

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/29/2013

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	ABC INC. RETIREMENT PLAN - PENSION INCOME	$11,558.00
2. 2012	YESHIVA UNIVERSITY - TEACHING	$13,600.00
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.)*

DATE	SOURCE AND TYPE
1. 2012	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2012	PROSPECT PARK ALLIANCE, FORM 1099-MISC - CONSULTING INCOME
3. 2012	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/29/2013

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.			

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/29/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. BANK DEPOSIT SWEEP PROGRAM	D	Interest	M	T					
2. DAVIS NEW YORK VENTURE CLASS A	A	Dividend	K	T	Sold (part)	03/02/12	J	A	
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	K	T	Sold (part)	04/27/12	J	A	
4. BLACKROCK FLEXIBLE EQUITY FD CL A	A	Dividend	K	T	Sold (part)	01/24/12	J	A	
5. INVESTCO VAN KAMPEN AMERICAN FRANCHISE	A	Dividend	K	T					
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	K	T					
9. ISHARES TR. RUSSELL 1000	A	Dividend	K	T	Buy (add'l)	06/12/12	J		
10. FIDELITY ADVISOR INFLATION PROTECTED BD FD CL A	A	Dividend	J	T					
11. ALLIANCE REAL ESTATE INVESTMENT FD A	A	Dividend	K	T					
12. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T					
13. ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND	A	Dividend	J	T	Sold (part)	08/28/12	J	A	
14. ALLIANCE GROWTH & INCOME FUND CL B	A	Dividend	K	T	Sold (part)	01/12/12	J	A	
15. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	T					
16. ABC PENSION PLAN		None	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 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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GARAUFIS, NICHOLAS G.	07/29/2013

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☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. INVESTCO GLOBAL QUANTITATIVE CORE	A	Dividend	J	T					
18. ISHARES MIDCAP	A	Dividend	K	T					
19. ISHARES TRMSCI	A	Dividend	K	T					
20. ISHARES RUSSELL 2000	A	Dividend	J	T					
21. ISHARES MSCI EMERGING MKT	A	Dividend	J	T					
22. MUTUAL SERIES CLASS C	A	Dividend	J	T					
23. SPDR S&P 500 ETF TR	A	Dividend	J	T					
24. PIMCO TOTAL RETURN CL C	A	Dividend	J	T	Sold (part)	06/06/12	J	A	
25. OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
26. INVESTCO VAN KAMPEN EQUITY & INCOME	B	Dividend	K	T					
27. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T					
28. ALLIANCE BERNSTEIN 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					
31. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
32. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T					
33. OPPENHEIMER INT BD FD	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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Place "(X)" after each asset exempt from prior disclosure	(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)
34. PIMCO COMM REAL RETURN	A	Dividend	J	T					
35. ROYCE TOTAL RET. INV.	A	Dividend	J	T	Sold (part)	08/16/12	J	A	
36. I SHARES S&P SMCAP 600	A	Dividend	K	T					
37. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
38. EAGLE SM CAP FD A	A	Dividend	J	T	Sold (part)	02/13/12	J	A	
39. I SHARES RUSSELL 2000 VALUE	A	Dividend	K	T					
40. 2004 TRUST		None	J	T					
41. PIMCO UNCONSTRAINED	A	Dividend	K	T					
42. ARTISAN INTL INVESTOR	A	Dividend	J	T					
43. FORWARD SELECT INC INST	A	Dividend	J	T					
44. ISHARES TR COHEN & STEERS REALTY	A	Dividend	J	T					
45. PIMCO HIGH YIELD A	A	Dividend	J	T					
46. FORWARD TACTICAL GROWTH FD CL C	A	Dividend	J	T					
47. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend	J	T					
48. ARTISAN MID-CAP VALUE	A	Dividend	J	T	Buy (add'l)	04/16/12	J		
49. LOCORR MANAGED FUTURES STRATEGY FD	A	Dividend			Sold	09/11/12	J	A	
50. MAINSTAY ICAP SELECT	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 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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51. DWS DREMAN SM CAP VALUES	A	Dividend	J	T	Buy	12/10/12	J		
52. GOLDMAN SACHS SATELLITE STRAT PORTFOLIO	A	Dividend	J	T	Buy	10/15/12	J		
53.					Buy (add'l)	11/19/12	J		
54. BLACKROCK EQUITY DIVIDEND	A	Dividend	J	T	Buy	05/15/12	J		
55. FIDELITY ADVISORS FLOATING GHIGH INC FD	A	Dividend	J	T	Buy	09/13/12	J		
56. ISHARES S&P 500 GROWTH	A	Dividend	J	T	Buy	05/18/12	J		
57. ISHARES S&P MID-CAP 400 GROWTH	A	Dividend	J	T	Buy	06/28/12	J		
58.									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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GARAUFIS, NICHOLAS G.	07/29/2013

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

VII, PAGE 4 OF 9, LINE 4:
NAME CHANGED FROM BLACKROCK MID CAP VALUE FUND TO BLACKROCK FLEXIBLE EQUITY FD

VII, PAGE 5 OF 9, LINE 17:
NAME CHANGED FROM INVESTCO GLOBAL EQUITY FUND TO INVESTCO QUANTITATIVE CORE.

VII PAGE 6 OF 9, LINE 39 OF 2011 REPORT ERRONEOUSLY LISTED VANGUARD INT TERM TAX PARTIALLY SOLD WHEN, IN FACT, IT WAS SOLD IN ITS ENTIRETY ON 04/18/11. THEREFORE, IT IS NOT LISTED IN CURRENT REPORT.

VII, PAGE 5 OF 9, LINE 17:
ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE MONTHLY PENSION BENEFITS UNDER [redacted] PENSION PLAN. PART III, LINE 2 DISCLOSES INCOME RECEIVED. THESE PAYMENTS WILL CEASE UPON MY DEATH.

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/29/2013

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