AO 10
Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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	07/25/2012
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	01/01/2011 to 12/31/2011

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. Insert signature on last page.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	MEMBER, BOARD OF DIRECTORS	SPECTATOR PUBLISHING COMPANY, INC.
2	MEMBER, EXECUTIVE COMMITEE	NEW YORK CITY BAR ASSOCIATION
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.	07/25/2012

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. 2011	ABC INC. RETIREMENT PLAN	$13,053
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.)*

DATE	SOURCE AND TYPE
1. 2011	CITIZENS BUDGET COMMISSION, FORM 1099-MISC. - CONSULTING INCOME
2. 2011	NEW YORK UNIVERSITY, FORM 1099-MISC - CONSULTING INCOME
3. 2011	PROSPECT PARK ALLIANCE, FORM 1099-MISC - CONSULTING INCOME
4. 2011	JPMORGAN CHASE FOR DELOITTE, FORM 1099-R - PENSION 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.)*

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

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/25/2012

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.	07/25/2012

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (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					
3. NEUBERGER BERMAN FOCUS FUND	A	Dividend	K	T	Sold (part)	07/01/11	J	A	
4.					Sold (part)	12/05/11	J	A	
5. BLACKROCK MID CAP VALUE FUND CLASS A	A	Dividend	K	T	Sold (part)	02/04/11	J	A	
6. INVESTCO VAN KAMPEN AMERICAN	A	Dividend	K	T					
7. INVESTCO GLOBAL GROWTH FD CL B	A	Dividend	K	T					
8. ALLIANCE BALANCED SHARES CL B	A	Dividend	J	T					
9. AMERICAN FUNDS: AMERICAN CAPITAL WORLD GROWTH & INCOME FUND	A	Dividend	K	T					
10. ISHARES TR RUSSELL 1000	A	Dividend	K	T					
11. FIDELITY ADVISOR INFLATION PROTECTED BD FD CL A	A	Dividend	J	T	Sold (part)	08/08/11	J	A	
12. ALLIANCE REAL ESTATE INVESTMENT FD A	A	Dividend	K	T					
13. OPPENHEIMER SM & MID CAP VALUE FUND	A	Dividend	K	T					
14. ALLIANCE BERNSTEIN GLOBAL THEMATIC GROWTH FUND	A	Dividend	J	T					
15. ALLIANCE GROWTH & INCOME FUND CL B	A	Dividend	K	T	Sold (part)	07/21/11	J	A	
16. CITY OF NEW YORK DEFERRED COMPENSATION PLAN	A	Dividend	K	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e g , div , rent, or int)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
17. ABC PENSION PLAN		None	J	T					
18. INVESTCO GLOBAL EQUITY FUND	A	Dividend	J	T					
19. ISHARES MIDCAP	A	Dividend	K	T					
20. ISHARES TRMSCI	A	Dividend	K	T	Buy (add'l)	01/24/11	J		
21.					Buy (add'l)	03/07/11	J		
22.					Buy (add'l)	05/11/11	J		
23. ISHARES RUSSELL 2000	A	Dividend	K	T	Sold (part)	04/20/11	J	A	
24. ISHARES MSCI EMERGING MKT	A	Dividend	J	T					
25. MUTUAL SERIES CLASS C	A	Dividend	J	T					
26. SPDR S&P 500 ETF TR	A	Dividend	J	T					
27. PIMCO TOTAL RETURN CL C	A	Dividend	J	T					
28 OPPENHEIMER GLOBAL FUND	A	Dividend	K	T					
29. INVESTCO VAN KAMPEN EQUITY & INCOME	B	Dividend	K	T					
30. AMERICAN FUNDS: AMERICAN BALANCED CLASS C	A	Dividend	J	T					
31. OPPENHEIMER LTD. TERM NY MUNI	A	Dividend			Sold	04/20/11	J	A	
32. ALLIANCE BERNSTEIN LG CAP GROWTH B	A	Dividend	K	T					
33 AMERICAN FUNDS. AMERICAN CAPITAL INCOME BUILDER.CLASS C	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	
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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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34. OPPENHEIMER GLOBAL CLASS C	A	Dividend			Merged (with line 28)	01/03/11	K		
35. AMERICAN GROWTH FD OF AMERICA C	B	Dividend	M	T					
36. AMERICAN FUNDS: AMERICAN HIGH INCOME CLASS FUND	B	Dividend	K	T					
37. INVESTCO DEVELOPING MKT CL A	A	Dividend	K	T					
38 OPPENHEIMER INT BD FD	A	Dividend	J	T					
39. VANGUARD INT TERM TAX	A	Dividend	J	T	Sold (part)	04/18/11	J	A	
40. PIMCO COMM REAL RETURN	A	Dividend	J	T					
41. ROYCE TOTAL RET. INV.	A	Dividend	K	T					
42. I SHARES S&P SMCAP 600	A	Dividend	K	T					
43. COLUMBIA SM CAP VAL II CIA	A	Dividend	J	T					
44 EAGLE SM CAP FD A	A	Dividend	J	T					
45. I SHARES RUSSELL 2000 VALUE	A	Dividend	J	T					
46. 2004 TRUST		None	J	T					
47. RYDEX SGI MGE FUTURES	A	Dividend			Sold (part)	04/26/11	J	A	
48.					Sold	06/21/11	J	A	
49. PIMCO UNCONSTRAINED	A	Dividend	K	T					
50 ARTISAN INTL INVESTOR	A	Dividend	J	T					

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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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51. FORWARD SELECT INC INST	A	Dividend	J	T					
52. ISHARES TR COHEN & STEERS REALTY	A	Dividend	J	T					
53. PIMCO HIGH YIELD A	A	Dividend	J	T					
54. FORWARD TACTICAL GROWTH FD CL C	A	Dividend	J	T					
55. BLACKROCK GLOBAL ALLOCATION FD CL C	A	Dividend	J	T	Buy	04/01/11	J		
56.					Buy (add'l)	05/11/11	J		
57.					Buy (add'l)	06/20/11	J		
58. ARTISAN MID-CAP VALUE	A	Dividend	J	T	Buy	04/11/11	J		
59. LOCORR MANAGED FUTURES STRATEGY FD	A	Dividend	J	T	Buy	04/01/11	J		
60. MAINSTAY ICAP SELECT	A	Dividend	J	T	Buy	03/15/11	J		
61									
62.									
63									
64.									
65									
66.									

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FINANCIAL DISCLOSURE REPORT

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GARAUFIS, NICHOLAS G.	07/25/2012

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

VII, PAGE 4 OF 9, LINE 1:
NAME CHANGED FROM PRIME FUND - CAPITAL RESERVES TO BANK DEPOSIT SWEEP PROGRAM.

VII, PAGE 4 OF 9, LINE 6:
NAME CHANGED FROM INVESTCO LARGE CAP GROWTH FD CL B TO INVESTCO VAN KAMPEN AMERICAN.

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.	07/25/2012

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