AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021

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	07/12/2022
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 - SENIOR STATUS	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
US DISTRICT COURT EDNY 225 CADMAN PLAZA EAST BROOKLYN, NY 11201		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	02/09/1997	ABC, INC. PENSION PLAN MONTHLY SURVIVOR BENEFIT
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENT INSTITUTIONAL OPERATORS)	$11,422.00
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
1.	2021	CITIZENS BUDGET COMMISSION, FORM 1099-MISC - CONSULTING INCOME
2.	2021	JP MORGAN CHASE, FORM 1099-R - PENSION INCOME
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

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

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/12/2022

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. CITY OF NEW YORK DEFERRED COMPENSATION PLAN (Y)		None	J	T					
2. ABC PENSION PLAN		None	J	T					
3. AB BERNSTEIN	A	Interest	M	T					
4. BERNSTEIN DIVERSIFIED MUNICIPAL PORTFOLIO	B	Dividend	L	T	Buy (add'l)	01/20/21	J		
5.					Buy (add'l)	02/19/21	J		
6.					Buy (add'l)	03/19/21	J		
7.					Buy (add'l)	04/20/21	J		
8.					Buy (add'l)	05/20/21	J		
9.					Buy (add'l)	06/18/21	J		
10.					Buy (add'l)	07/20/21	J		
11.					Buy (add'l)	08/20/21	J		
12.					Buy (add'l)	09/20/21	J		
13.					Buy (add'l)	10/20/21	J		
14.					Buy (add'l)	11/19/21	J		
15.					Buy (add'l)	12/20/21	J		
16. AB TAX MANAGED WEALTH APPRECIATION STRATEGY ADV CL	D	Dividend	O	T	Buy (add'l)	12/15/21	K		
17.					Sold (part)	01/25/21	J	A	

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)	
18.						Sold (part)	04/22/21	J	A	
19.						Sold (part)	07/21/21	J	A	
20.						Sold (part)	10/25/21	J	A	
21.	AB WEALTH APPRECIATION STRATEGY FD ADV CL	E	Dividend	P1	T	Buy (add'l)	04/13/21	J		
22.						Buy (add'l)	12/15/21	M		
23.						Sold (part)	01/25/21	J	A	
24.						Sold (part)	03/15/21	J	B	
25.						Sold (part)	04/12/21	J	B	
26.						Sold (part)	04/22/21	J	A	
27.						Sold (part)	07/21/21	J	A	
28.						Sold (part)	08/17/21	K	D	
29.						Sold (part)	10/25/21	J	A	
30.						Sold (part)	12/30/21	J	A	
31.	BERNSTEIN INTERMEDIATE DURATION PORTFOLIO	C	Dividend	M	T	Buy (add'l)	01/20/21	J		
32.						Buy (add'l)	02/19/21	J		
33.						Buy (add'l)	03/19/21	J		
34.						Buy (add'l)	04/20/21	J		

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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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35.					Buy (add'l)	05/20/21	J		
36.					Buy (add'l)	06/18/21	J		
37.					Buy (add'l)	07/20/21	J		
38.					Buy (add'l)	08/20/21	J		
39.					Buy (add'l)	09/20/21	J		
40.					Buy (add'l)	10/20/21	J		
41.					Buy (add'l)	11/19/21	J		
42.					Buy (add'l)	12/20/21	J		
43. AB GLOBAL BOND FUND ADVISOR	D	Dividend	M	T	Buy (add'l)	01/05/21	J		
44.					Buy (add'l)	02/02/21	J		
45.					Buy (add'l)	03/02/21	J		
46.					Buy (add'l)	04/05/21	J		
47.					Buy (add'l)	05/05/21	J		
48.					Buy (add'l)	06/02/21	J		
49.					Buy (add'l)	07/02/21	J		
50.					Buy (add'l)	08/03/21	J		
51.					Buy (add'l)	09/02/21	J		

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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	
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52.					Buy (add'l)	10/04/21	J		
53.					Buy (add'l)	11/02/21	J		
54.					Buy (add'l)	12/07/21	J		
55. 5263 SHS OVER UNDER COFFEE LIMITED		None	J	T					
56.									

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

PART VII. PAGE 4 OF 9, LINE 2:
ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE MONTHLY PENSION BENEFITS UNDER [redacted] PENSION PLAN.
PART III, LINE 1 DISCLOSES INCOME RECEIVED. THESE PAYMENTS WILL CEASE UPON MY DEATH.

Name of Person Reporting	Date of Report
GARAUFIS, NICHOLAS G.	07/12/2022

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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One Columbus Circle, N.E.
Washington, D.C. 20544