AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)*

| 1. Person Reporting (last name, first, middle initial) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| GARAUFIS, NICHOLAS G. | EASTERN DISTRICT OF NEW YORK | 08/01/2023 |
| **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<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2022 **to** 12/31/2022 |
| **7. Chambers or Office Address** | | |
| US DISTRICT COURT EDNY<br>225 CADMAN PLAZA EAST<br>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. | ADJUNCT PROFESSOR | COLUMBIA LAW SCHOOL |
| 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. 2022 | ABC INC. RETIREMENT PLAN - PENSION INCOME (FIDELITY INVESTMENT INSTITUTIONAL OPERATORS) | $11,422.00 |
| 2. 2022 | COLUMBIA LAW SCHOOL TEACHING INCOME REPORTED ON W2 | $15,000.00 |
| 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 |
|---|---|
| 1. 2022 | CITIZENS BUDGET COMMISSION, FORM 1099-NEC - CONSULTING INCOME |
| 2. 2022 | 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.** | 08/01/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | 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) | |
| 1. ABC PENSION PLAN | | None | J | T | | | | | |
| 2. AB BERNSTEIN | B | Interest | L | T | | | | | |
| 3. BERNSTEIN DIVERSIFIED MUNICIPAL PORTFOLIO | B | Dividend | L | T | Buy (add'l) | 01/01/22 | J | | |
| 4. | | | | | Buy (add'l) | 01/20/22 | J | | |
| 5. | | | | | Buy (add'l) | 02/18/22 | J | | |
| 6. | | | | | Buy (add'l) | 03/18/22 | J | | |
| 7. | | | | | Buy (add'l) | 04/20/22 | J | | |
| 8. | | | | | Buy (add'l) | 05/20/22 | J | | |
| 9. | | | | | Buy (add'l) | 06/17/22 | J | | |
| 10. | | | | | Buy (add'l) | 07/20/22 | J | | |
| 11. | | | | | Buy (add'l) | 08/19/22 | J | | |
| 12. | | | | | Buy (add'l) | 08/31/22 | J | | |
| 13. | | | | | Buy (add'l) | 09/20/22 | J | | |
| 14. | | | | | Buy (add'l) | 10/20/22 | J | | |
| 15. | | | | | Buy (add'l) | 11/18/22 | J | | |
| 16. | | | | | Buy (add'l) | 12/20/22 | J | | |
| 17. | | | | | Sold (part) | 11/07/22 | K | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **GARAUFIS, NICHOLAS G.** | 08/01/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | 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) | |
| 18. AB TAX MANAGED WEALTH APPRECIATION STRATEGY ADV CL | E | Dividend | N | T | Buy (add'l) | 08/31/22 | J | | |
| 19. | | | | | Buy (add'l) | 09/02/22 | J | | |
| 20. | | | | | Buy (add'l) | 10/17/22 | J | | |
| 21. | | | | | Buy (add'l) | 12/14/22 | K | | |
| 22. | | | | | Sold (part) | 01/21/22 | J | A | |
| 23. | | | | | Sold (part) | 04/21/22 | J | A | |
| 24. | | | | | Sold (part) | 07/21/22 | J | A | |
| 25. | | | | | Sold (part) | 10/19/22 | J | A | |
| 26. AB WEALTH APPRECIATION STRATEGY FD ADV CL | F | Dividend | P1 | T | Buy (add'l) | 02/23/22 | J | | |
| 27. | | | | | Buy (add'l) | 04/11/22 | J | | |
| 28. | | | | | Buy (add'l) | 12/14/22 | L | | |
| 29. | | | | | Sold (part) | 01/21/22 | J | A | |
| 30. | | | | | Sold (part) | 03/29/22 | J | A | |
| 31. | | | | | Sold (part) | 04/21/22 | J | A | |
| 32. | | | | | Sold (part) | 07/21/22 | J | A | |
| 33. | | | | | Sold (part) | 10/17/22 | K | A | |
| 34. | | | | | Sold (part) | 10/19/22 | 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 | | | |
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| Name of Person Reporting | Date of Report |
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| **GARAUFIS, NICHOLAS G.** | 08/01/2023 |

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

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 35. | | | | | Sold (part) | 11/28/22 | J | A | |
| 36. BERNSTEIN INTERMEDIATE DURATION PORTFOLIO | | None | M | T | Buy (add'l) | 01/01/22 | J | | |
| 37. | | | | | Buy (add'l) | 01/20/22 | J | | |
| 38. | | | | | Buy (add'l) | 02/18/22 | J | | |
| 39. | | | | | Buy (add'l) | 03/18/22 | J | | |
| 40. | | | | | Buy (add'l) | 04/11/22 | J | | |
| 41. | | | | | Buy (add'l) | 04/20/22 | J | | |
| 42. | | | | | Buy (add'l) | 05/20/22 | J | | |
| 43. | | | | | Buy (add'l) | 06/17/22 | J | | |
| 44. | | | | | Buy (add'l) | 07/20/22 | J | | |
| 45. | | | | | Buy (add'l) | 08/19/22 | J | | |
| 46. | | | | | Buy (add'l) | 09/20/22 | J | | |
| 47. | | | | | Buy (add'l) | 10/20/22 | J | | |
| 48. | | | | | Buy (add'l) | 11/18/22 | J | | |
| 49. | | | | | Buy (add'l) | 12/20/22 | J | | |
| 50. | | | | | Sold (part) | 02/23/22 | J | A | |
| 51. | | | | | Sold (part) | 03/14/22 | 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

| Name of Person Reporting | Date of Report |
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| **GARAUFIS, NICHOLAS G.** | 08/01/2023 |

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| 52. | | | | | Sold (part) | 10/17/22 | J | A | |
| 53. AB GLOBAL BOND FUND ADVISOR | | None | M | T | Buy (add'l) | 01/04/22 | J | | |
| 54. | | | | | Buy (add'l) | 02/02/22 | J | | |
| 55. | | | | | Buy (add'l) | 03/02/22 | J | | |
| 56. | | | | | Buy (add'l) | 04/04/22 | J | | |
| 57. | | | | | Buy (add'l) | 04/11/22 | J | | |
| 58. | | | | | Buy (add'l) | 05/03/22 | J | | |
| 59. | | | | | Buy (add'l) | 06/02/22 | J | | |
| 60. | | | | | Buy (add'l) | 07/05/22 | J | | |
| 61. | | | | | Buy (add'l) | 08/02/22 | J | | |
| 62. | | | | | Buy (add'l) | 09/02/22 | J | | |
| 63. | | | | | Buy (add'l) | 10/04/22 | J | | |
| 64. | | | | | Buy (add'l) | 11/02/22 | J | | |
| 65. | | | | | Buy (add'l) | 12/02/22 | J | | |
| 66. | | | | | Buy (add'l) | 12/06/22 | J | | |
| 67. | | | | | Sold (part) | 02/23/22 | J | A | |
| 68. | | | | | Sold (part) | 03/14/22 | 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 |
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| Name of Person Reporting | Date of Report |
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| A | B | | C | | D | | | | |
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| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 69. | | | | | Sold (part) | 10/17/22 | J | A | |
| 70. BERNSTEIN NY MUNICIPAL FUND | A | Dividend | K | T | Buy | 11/07/22 | K | | |
| 71. | | | | | Buy (add'l) | 11/18/22 | J | | |
| 72. | | | | | Buy (add'l) | 12/20/22 | J | | |
| 73. 5263 SHS OVER UNDER COFFEE LIMITED | | None | | | Sold | 09/16/22 | J | A | |
| 74. | | | | | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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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| 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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| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **GARAUFIS, NICHOLAS G.** | 08/01/2023 |

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

PART VII. PAGE 4 OF 9, LINE 1:
ABC, INC. PENSION PLAN. I AM DESIGNATED TO RECEIVE MONTHLY PENSION BENEFITS UNDER MY LATE [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. | 08/01/2023 |

## 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. § 13141 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544