

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) ARTERTON, JANET B.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 08/03/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE/SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. DISTRICT COURT 141 CHURCH STREET NEW HAVEN, CT 06510		
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. Chair	Committee of the Proprietors of the Common and Undivided Lands in the Town of New Haven
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.	
2.	
3.	

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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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. 2016

Salary-George Washington University

2. _____

3. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing 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 filing instructions.)*NONE *(No reportable liabilities.)*

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

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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		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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. People's Bank (various accounts) (Y)									4, 5
2. CT Higher Ed Trust		None	K	T					6
3. Vanguard Muni Money Market (VMSXX) (cash)	A	Dividend	L	T					1
4. Vanguard Intermediate Term Tax Exempt Fund (VWITX)	B	Dividend	K	T					7, 75-76
5. Vanguard Small Cap Growth IDX Admiral (VSGAX) (Y)									8, 77-78
6. Vanguard Annuity Money Market (Y)									13
7. Vanguard 500 Index Fund (VFIAX)	C	Dividend	M	T					14, 69
8. Janus Global Life Sciences Fund (Y)									15
9. Rental Property #1, Washington, DC (X)	E	Rent	M	W					
10. IRA #1 (H)									
11. DREYFUS GOVT SEC CSH MGT INV (X)	A	Interest	J	T					
12. TEQLX	B	Dividend	L	T	Sold (part)	08/08/16	J		34-37
13. SCZ	A	Dividend	K	T					38-39, 56
14. TWR (Y)									40
15. RWR	B	Dividend	K	T	Buy (add'l)	04/28/16	J		41-42, 55
16.					Buy (add'l)	12/19/16	J		
17. DHLX		None	L	T	Sold (part)	11/21/16	J		44-46

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 H ~\$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 ~\$250,000,001 - \$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 \$5,000,000	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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18. AQMIX	A	Dividend	K	T					47-48, 57
19. BSV	A	Dividend	K	T					30, 50, 54
20. IWR		None			Sold	01/25/16	K		21, 52
21. IWS	B	Dividend	L	T					22, 49, 53
22. IWP	A	Dividend	K	T	Buy	01/25/16	K		
23. TBHX	A	Dividend	K	T	Sold (part)	01/25/16	J		28, 43, 58
24. TILIX	A	Dividend	L	T	Buy (add'l)	01/27/16	J		16, 17, 59
25.					Buy (add'l)	08/08/16	J		
26. TILVX	B	Dividend	L	T	Sold (part)	04/28/16	J		18, 31, 51, 60
27. TISBX	A	Dividend	K	T					19-20, 61
28. TCIEX	B	Dividend	K	T	Buy (add'l)	01/25/16	J		25, 32, 62
29.					Buy (add'l)	08/08/16	J		
30. TIHYX	C	Dividend	K	T					29, 33, 63
31. PELBX	B	Dividend	K	T					26-27, 64
32. TIP	A	Dividend	K	T					23, 24, 65
33. TIAA AFTER-TAX RETIREMENT ANNUITY (H)									
34. TIAA REAL ESTATE		None	N	T					66

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	
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35. GWU SUPP RETIREMENT PLAN (H)									
36. TIAA TRADITIONAL		None	N	T					67-68
37. T-C SOCIAL CHOICE EQ-INST		None	K	T					70-71
38. GWU 457B DEFERRED COMP PLAN (H)									
39. T-C LIFE CYCLE 2010		None	K	T					73-74
40. GWU 401(A) RETIREMENT PLAN (TIAA VARIABLE ANNUITY) (H)									72
41. CREF MONEY MARKET	A	Int./Div.	J	T					9
42. CREF BOND MARKET (Y)									79-83
43. CREF GROWTH		None	M	T					3, 84-86
44. CREF STOCK		None	M	T					10, 87-89
45. CREF EQUITY INDEX		None	M	T					11, 90-92
46. T-C SOCIAL CH EQ-INST		None	M	T					12, 93-95
47. TIAA REAL ESTATE		None	M	T					96-98

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

Throughout Part VII of the 2016 report, assets have been grouped by account for ease of reporting and to eliminate duplicate entries, and descriptions in Part VII, Column A, have been updated as necessary. To avoid confusion between the 2015 and 2016 reports, Column D(5) of this report includes the corresponding line numbers from 2015.

Part VII, lines 2, 34, 36, 37, 39, and 43-47: These holdings report only unit value and do not allocate income to individual positions, so there is no reportable income, per page 40 of the filing instructions.

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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: **S/ JANET B. ARTERTON**

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