

UNITED STATES DISTRICT COURT

DISTRICT OF CONNECTICUT
141 CHURCH STREET
NEW HAVEN, CONNECTICUT 06510

CHAMBERS OF
JANET BOND ARTERTON
UNITED STATES DISTRICT JUDGE

TEL. [REDACTED]
(AREA CODE 203)

July 13, 2007

Chairman Ortrie D. Smith
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544

Dear Chairman Smith:

I enclose my Amended Financial Disclosure Report for calendar year 2006, and three copies.

Thank you.

Enclosures

[REDACTED]
Janet Bond Arterton

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FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 07/09/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE/ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. DISTRICT COURT 141 CHURCH STREET NEW HAVEN, CT 06510		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____
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. Sign on last page.		

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

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 05/13/95	Garrison, Levin-Epstein, Chimes & Richardson, P.C.: Profit Sharing Plan/401k Plan. (No control.)
2. _____	_____
3. _____	_____

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)***A. Filer's Non-Investment Income**☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		
5.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2006	George Washington University--Salary; -Professor
2. 2006	Royalties: Rowman and Littlefield Publishers
3. 2006	Honoraria: Department of State
4.	
5.	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. American Law Institute/American Bar Association	Participant at Continuing Legal Education Program, Georgetown Law School, Washington, D.C., 2/9-2/10/06 (transportation, meals and hotel).
2. U.S. Embassy, China	Law school lectures, Beijing, Nanjing and Shanghai, 10/14-10/21/06 (transportation and per diem for food, lodging and expenses).
3. U.S. Embassy, Cambodia	Meetings with judiciary, court observations, 10/22-10/28/06 (transportation and per diem for food, lodging and expenses).
4.	

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

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

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

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Janus Global and International	A	Dividend	M	T					
2. Wells Fargo Adv. Opp. Fund (Formerly Strong Opp. Fund)	A	Dividend	M	T					
3. Third Avenue Value Fund	A	Dividend	M	T					
4. Vanguard Muni Bond Fund (Money Market Account)	B	Dividend	M	T					
5. Garrison, et al Profit Sharing Plan/401k: American Funds	A	Dividend	N	T					
6. Vanguard Windsor Fund	A	Dividend	L	T	Buy/mo.		J		
7. TIAA/CREF Growth Fund	A	Dividend	L	T	Buy/mo.		J		
8. Excelsior Value & Restructuring	A	Dividend	L	T					
9. Vanguard Morgan Growth Fund	A	Dividend	L	T	Buy/mo.		J		
10. Schwab US Treas. Money Fund	A	Dividend	K	T	Sell	01/06	K		
11. Vanguard 500 Index Fund	A	Dividend	K	T	Buy/mo.		J		
12. AYALA	A	Dividend	J	T					
13. People's Bank (CD)	A	Interest	J	T					
14. Gartmore GVIT Emerging Market III	B	Dividend	K	T	Buy	01/06	K		
15. Nationwide Annuity:	E	Distribution	N	T					
16. -American Century VIP Inome & Growth		Dividend	K	T	Sell	01/06	K		
17. -Wells Fargo Adv.Opp.Fund (Formerly	A	Dividend	M	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	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 =\$25,000,001 - \$50,000,000 Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	P4 =More than \$50,000,000 S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Strong VIP Opp. Fd)									
18. -Neuberger Berman Partners Portfolio	A	Dividend	L	T					
19. -Gartmore GVIT Small Company Fund	A	Dividend	K	T	Sell	01/06	K		
20. Vanguard International Value Fund	A	Dividend	M	T	Buy/mo		L		
21. CT Higher Ed Trust	A	Dividend	J	T	Buy/mo	03/06	J		
22. Vanguard Muni Bond Fund	A	Interest	K	T	Buy	0/06	K		
23. Vanguard Small Cap Growth	A	Dividend	K	T	Buy	01/06	K		
24. People's Bank CD	A	Interest	J	T	Buy	12/06	J		
25. Gartmore GVIT Int'l GR III	B	Dividend	K	T	Buy	01/06	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,001 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

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

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

07/09/2007

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

Date

2 July 2007

NOTE: A PERSON WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL PENALTIES (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 05/3/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE/ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address U.S. DISTRICT COURT 141 CHURCH STREET NEW HAVEN, CT 06510	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 05/13/95	Garrison, Levin-Epstein, Chimes & Richardson, P.C.: Profit Sharing Plan/401k Plan. (No control.)
2. _____	_____
3. _____	_____

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

05/3/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of instructions.)***A. Filer's Non-Investment Income**☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		
5.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2006	George Washington University--Salary; -Professor
2. 2006	Royalties: Rowman and Littlefield Publishers
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IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. American Law Institute/American Bar Association	Participant at Continuing Legal Education Program, Georgetown Law School, Washington, D.C., 2/9-2/10/06 (transportation, meals and hotel)
2. U.S. Embassy, China	Law school lectures, Beijing, Nanjin and Shanghai, 10/14-10/21/06 (transportation and per diem for food, lodging and expenses).
3. U.S. Embassy, Cambodia	Meetings with judiciary, court observations, 10/22-10/28/06 (transportation and per diem for food, lodging and expenses).
4. Department of Justice/Department of State (OPDAT), Suriname	Judicial workshop 3/12-3/16/06 (transportation and reimbursement for food and lodging

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5.

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Name of Person Reporting

ARTERTON, JANET B

Date of Report

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
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9. Vanguard Morgan Growth Fund	A	Dividend	L	T	Buy/mo.		J		
10. Schwab US Treas. Money Fund	A	Dividend	K	T	Sell	01/06	K		
11. Vanguard 500 Index Fund	A	Dividend	K	T	Buy/mo.		J		
12. AYALA	A	Dividend	J	T					
13. Agere Systems	A	Dividend	J	T					
14. People's Bank (CD)	A	Interest	J	T					
15. Nationwide Annuity:	E	Distribution	N	T					
16. -American Century VIP Inome & Growth		Dividend	K	T					
17. -Wells Fargo Adv.Opp.Fund (Formerly	A	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	● = Appraisal U = Book Value				

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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Strong VIP Opp. Fd)									
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24. People's Bank CD	A	Interest	J	T	Buy	12/06	J		

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3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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

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Name of Person Reporting

ARTERTON, JANET B

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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

Date

3 May 2007

NOTE: ANY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544