

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 02/03/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	George Washington University (salary)
2. Sept. 2019	University of Navarra (\$2,300.00 honorarium)
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)

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.		

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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. Individual Assets (H)									
2. CT HIGHER ED TRUST		None	M	T					
3. RENTAL PROPERTY #1, WASHINGTON, DC	E	Rent	M	W					
4. BROKERAGE #1 (H)									
5. VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND (VWITX)	B	Dividend	K	T					
6. VANGUARD MUNI MONEY MARKET (VMSXX) (cash equivalent)	A	Dividend	M	T					
7. VANGUARD 500 INDEX FUND (VFIAX)	C	Dividend	M	T					
8. IRA #1 (H)									
9. DREYFUS GOVT SEC CSH MGT INV (cash)	A	Interest	J	T					
10. AQR Managed Futures Strategy Fund I (AQMIX)	A	Dividend	J	T	Sold (part)	05/29/19	K		
11. CREDIT SUISSE MANAGED FUTURES STRATEGY FUND CLASS 1 (CSAIX)		None	J	T	Buy	05/29/19	J		
12. Diamond Hill Long-Short Fund I (DHL SX)	C	Dividend	K	T	Sold (part)	05/29/19	K	B	
13. 361 GLOBAL LONG/SHORT FUND CLASS 1 (AGAWX)	A	Dividend	K	T	Buy	05/29/19	K		
14. NUVEEN NWQ Small Cap VALUE FUND CLASS1 (NSCRX)	A	Dividend	J	T	Buy	05/31/19	J		
15. NUVEEN Small-Cap GROWTH OPPS FUND CLASS 1 (FIMPX)		None	J	T	Buy	05/31/19	J		
16. Pimco Emerging Local Bond Fund I (PELBX)	A	Dividend			Sold	05/31/19	K	A	
17. TIAA-CREF INTERNATIONAL EQUITY FUND CLASS 1 (TIEX)	A	Dividend	L	T	Buy	05/29/19	L		

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	
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. TIAA-CREF Intl Equity Index Fund I (TCIEX)		None			Sold	02/21/19	L	C	
19. TIAA-CREF Small Cap Blend Index Fund I (TISBX)		None			Sold	05/29/19	K		
20. TIAA-CREF Large Cap Value Index Fund I (TILVX)	C	Dividend	L	T	Buy (add'l)	12/16/19	J		
21. TIAA-CREF Large Cap Growth Index Fund I (TILIX)	C	Dividend	M	T					
22. TIAA-CREF Emerging Markets Equity Index Fund I (TEQLX)		None			Sold	03/13/19	L	D	
23. TIAA-CREF Bond Index Fund I (TBIIX)	C	Dividend	M	T	Buy (add'l)	05/29/19	J		
24.					Buy (add'l)	05/30/19	M		
25.					Buy (add'l)	12/10/19	J		
26. TIAA-CREF High Yield Fund I (TIHYX)	B	Dividend	J	T	Sold (part)	05/29/19	K		
27. IShares Tr Tips Bd ETF (TIP)	A	Dividend			Sold	05/30/19	K	A	
28. IShares Tr Russell Mid Cap Value ETF (IWS)	A	Dividend	K	T	Sold (part)	05/30/19	K	D	
29. IShares Tr Russell Mid Cap Growth ETF (IWP)	A	Dividend	K	T					
30. IShares Tr Russell 2000 Value ETF (IWN)	A	Dividend	J	T	Buy	06/03/19	J		
31. IShares Tr Russell 2000 Growth ETF (IWO)	A	Dividend	J	T	Buy	06/03/19	J		
32. IShares Tr MSCI EAFE Small Cap ETF (SCZ)	A	Dividend	K	T					
33. Ishares Tr CORE MSCI EAFE ETF (IEFA)	B	Dividend	L	T	Buy	02/22/19	L		
34. Ishares INC CORE MSCI EMERGING MKTS ETF (IEMG)	B	Dividend	K	T	Buy	03/14/19	L		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35.					Sold (part)	10/09/19	J		
36.					Sold (part)	10/24/19	J		
37.					Sold (part)	12/09/19	J		
38. SPDR PORTFOLIO SHORT TERM CORPORATE BD ETF (SPSB)	A	Dividend	J	T	Buy	05/30/19	J		
39. SPDR Ser Tr Dow Jones REIT ETF (RWR)	A	Dividend			Sold	05/30/19	K	D	
40. Vanguard Bd Index FDS Short Term Bond ETF (BSV)	A	Dividend			Sold	05/30/19	K		
41. TIAA AFTER-TAX RETIREMENT ANNUITY (H)									
42. TIAA REAL ESTATE		None	O	T					
43. GWU SUPP RETIREMENT PLAN (H)									
44. TIAA TRADITIONAL		None	N	T					
45. GWU 457B DEFERRED COMP PLAN (H)									
46. T-C LIFE CYCLE 2010	D	Dividend	K	T					
47. GWU 401(A) RETIREMENT PLAN (TIAA VARIABLE ANNUITY) (H)									
48. TIAA REAL ESTATE		None	M	T					
49. CREF STOCK		None	N	T					
50. CREF GROWTH		None	N	T					
51. CREF EQUITY INDEX		None	N	T					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. T-C SOCIAL CH EQ-INST		None	N	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 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
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Washington, D.C. 20544