

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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 - DISTRICT OF CONNECTICUT	3. Date of Report 05/06/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. DISTRICT COURT 141 CHURCH STREET NEW HAVEN, CT 06510		
IMPORTANT NOTES: <i>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>		

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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. 2020	George Washington University (salary)
2. 12/24/2020	University of Navarra (\$1,582.47 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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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. PEOPLE'S UNITED BANK ACCOUNT (CASH) (X)	A	Interest	K	T					
4. RENTAL PROPERTY #1, WASHINGTON, DC	E	Rent	M	W					
5. ACCOUNT #1 (H)									
6. DREYFUS GOVT SEC CSH MGT INV (cash) (Y)									
7. TIAA BANK RETIREMENT ACCOUNT (cash) (X)	A	Interest	J	T					
8. AQR MANAGED FUTURES STRATEGY FUND I (AQMIX)	A	Dividend	J	T					
9. CREDIT SUISSE MANAGED FUTURES STRATEGY FUND CLASS 1 (CSAIX)		None	J	T					
10. DIAMOND HILL LONG-SHORT FUND I (DHLSS)	A	Dividend	K	T	Buy (add'l)	03/02/20	J		
11. 361 GLOBAL LONG/SHORT FUND CLASS 1 (AGAWX)		None	K	T					
12. NUVEEN NWQ SMALL CAP VALUE FUND CLASS1 (NSCRX)	A	Dividend	J	T					
13. NUVEEN SMALL-CAP GROWTH OPPS FUND CLASS 1 (FIMPX)		None			Sold	04/13/20	J		
14. TIAA-CREF INTERNATIONAL EQUITY FUND CLASS 1 (TIIEX)	A	Dividend	L	T	Buy (add'l)	03/13/20	J		
15. TIAA-CREF LARGE CAP VALUE INDEX FUND (TILVX)	B	Dividend	M	T	Buy (add'l)	03/02/20	J		
16.					Buy (add'l)	03/13/20	J		
17.					Sold (part)	12/07/20	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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)
18. TIAA-CREF LARGE CAP GROWTH INDEX FUND I (TILIX)	B	Dividend	M	T	Sold (part)	05/07/20	J	D	
19.					Sold (part)	09/02/20	K		
20. TIAA-CREF BOND INDEX FUND I (TBIIX)	D	Dividend	M	T	Buy (add'l)	01/03/20	J		
21.					Sold (part)	03/02/20	K	A	
22.					Sold (part)	03/13/20	K	A	
23.					Buy (add'l)	04/13/20	J		
24.					Buy (add'l)	05/07/20	J		
25.					Buy (add'l)	06/22/20	J		
26.					Buy (add'l)	09/02/20	K		
27.					Buy (add'l)	09/02/20	J		
28. TIAA-CREF HIGH YIELD FUND I (TIHYX)	A	Dividend	J	T					
29. ISHARES TR RUSSELL MID CAP VALUE ETF (IWS)	A	Dividend	L	T	Buy (add'l)	03/13/20	J		
30. ISHARES TR RUSSELL MID CAP GROWTH ETF (IWP)	A	Dividend	K	T					
31. ISHARES TR RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T					
32. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	05/07/20	J		
33. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	A	Dividend	K	T					
34. ISHARES TR CORE MSCI EAFE ETF (IEFA)	B	Dividend	L	T	Buy (add'l)	03/13/20	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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)
35.					Buy (add'l)	05/07/20	J		
36. ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	B	Dividend	L	T					
37. SPDR PORTFOLIO SHORT TERM CORPORATE BD ETF (SPSB)	A	Dividend	J	T	Buy (add'l)	03/02/20	J		
38. ACCOUNT #2 (H)									
39. TIAA REAL ESTATE		None			Sold	06/29/20	O		
40. CREF MONEY MARKET R2		None	O	T	Buy	06/29/20	O		
41. ACCOUNT #3 (H)									
42. TIAA TRADITIONAL	D	Interest	N	T					
43. ACCOUNT #4 (H)									
44. T-C LIFE CYCLE 2010	C	Dividend	L	T					
45. ACCOUNT #5 (H)									
46. CREF MONEY MKT R3 (cash)		None	M	T	Open	06/04/20	M		
47. TIAA REAL ESTATE		None			Sold	06/04/20	M		
48. CREF STOCK R3		None	N	T					
49. CREF GROWTH R3		None	O	T					
50. CREF EQUITY INDEX R3		None	N	T					
51. T-C SOCIAL CH EQ-INST	D	Dividend	N	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 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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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)

52. ACCOUNT #6 (H)									
53. VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND (VWITX)	B	Dividend	L	T					
54. VANGUARD MUNI MONEY MARKET (VMSXX) (cash equivalent)	B	Dividend	N	T					
55. VANGUARD 500 INDEX FUND (VFIAX)	C	Dividend	N	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 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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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.

Account #5 is a GWU 401(A) Retirement Plan (TIAA variable annuity). Underlying assets are included in Part VII.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

05/06/2021

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