

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 6/22/2016
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 1/1/2015 to 12/31/2015
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. Member	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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ARTERTON, JANET B.

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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. 2015	Rental Income from Apartment: 2141 1st NW, Washington,DC 20037	
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. 2015	Salary-George Washington University
2. 2015	Royalties-Rowman and Littlefield Publishers - \$30.37
3. 2015	Honoraria: University of Navarra, Pamplona, Spain - \$2515.00
4. 2015	Honoraria, Uber, Inc. - \$7400.00

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.)*

	<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. Vanguard Muni Bond Fund (Money Market Account)	B	Dividend	M	T					
2. Garrison, et al Profit Sharing Plan/401k: American Funds	A	Dividend	O	T					
3. TIAA/CREF Growth Fund	E	Dividend	M	T					
4. People's Bank (CD)	A	Interest	J	T					
5. People's Bank (CD)	A	Interest	J	T					
6. CT Higher Ed Trust	B	Dividend	K	T	Buy (add'l)	07/28/15	J		
7. Vanguard Interterm Tax Exempt Fund	A	Interest	K	T	Buy (add'l)	07/28/15	K		
8. Vanguard Small Cap Growth IDX Admiral	A	Dividend	M	T	Sold (part)	3/11/15	M		
9. CREF Money Market	A	Dividend	J	T					
10. CREF Stock Portfolio	D	Dividend	M	T	Buy (add'l)	07/28/15	J		
11. CREF Equity Index	D	Dividend	M	T	Buy (add'l)	07/28/15	J		
12. T-C Social Choice EQ-INST	D	Dividend	M	T					
13. Vanguard Annuity Money Market	A	Interest	N	T					
14. Vanguard 500 Index Fund	A	Dividend	M	T	Buy (add'l)	7/28/15	L		
15. Janus Global Life Sciences Fund	A	Dividend	M	T	Sold (part)	6/17/15	M		
16. TILIX			L	T	Buy	06/17/15	K		
17. TILIX			L	T	Buy (add'l)	07/09/15	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 = \$250,000.01 - \$500,000.00	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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☐ 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 I (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. TILVX			L	T	Buy (add'l)	07/09/15	K		
19. TISBX			K	T	Buy (add'l)	07/09/15	J		
20. TISBX			K	T	Buy	06/17/15	K		
21. IWR			K	T	Buy	06/19/15	K		
22. IWS			L	T	Buy (add'l)	07/13/15	K		
23. TIP			K	T	Buy	06/19/15	K		
24. TIP			K	T	Buy (add'l)	07/13/15	J		
25. TCIEX			K	T	Buy	06/17/15	K		
26. PELBX			K	T	Buy (add'l)	07/09/15	J		
27. PELBX			K	T	Buy	06/17/15	K		
28. TBHX			K	T	Buy	06/17/15	K		
29. TIHYX			K	T	Buy (add'l)	07/09/15	J		
30. BSV			K	T	Buy	06/19/15	K		
31. TILVX			L	T	Buy	06/17/15	L		
32. TCIEX			J	T	Buy (add'l)	07/09/15	J		
33. TIHYX			K	T	Buy	06/17/15	K		
34. TEQLX			L	T	Buy (add'l)	07/09/15	K		

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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☐ 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. TEQLX			L	T	Buy	06/17/15	L		
36. TEQLX	B	Dividend	L	T	Buy (add'l)	07/28/15	J		
37. TEQLX			L	T	Buy (add'l)	12/16/15	J		
38. SCZ			K	T	Buy (add'l)	07/13/15	J		
39. SCZ			K	T	Buy	06/19/15	K		
40. TWR			K	T	Buy (add'l)	07/13/15	J		
41. RWR			K	T	Buy	06/19/15	K		
42. RWR			K	T	Buy (add'l)	07/13/15	J		
43. TBHX			K	T	Buy (add'l)	07/09/15	J		
44. DHLX			L	T	Buy	06/17/15	L		
45. DHLX			L	T	Buy	06/18/15	J		
46. DHLX			L	T	Buy (add'l)	07/09/15	K		
47. AQMIX			K	T	Buy	06/17/15	K		
48. AQMIX			K	T	Buy (add'l)	07/09/15	J		
49. IWS			L	T	Buy	06/19/15	L		
50. BSV			K	T	Buy (add'l)	07/13/15	J		
51. TILVX			L	T	Buy (add'l)	12/16/15	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. IWR	A	Dividend	K	T	Buy (add'l)	07/13/15	J		
53. IWS	B	Dividend	L	T	Buy (add'l)	07/13/15	J		
54. BSV	A	Dividend	K	T	Buy (add'l)	07/13/15	J		
55. RWR	A	Dividend	K	T	Buy (add'l)	07/13/15	J		
56. SCZ	A	Dividend	K	T	Buy (add'l)	07/13/15	J		
57. AQMIX	B	Dividend	K	T	Buy (add'l)	07/13/15	J		
58. TBHX	A	Dividend	K	T	Buy (add'l)	06/19/15	J		
59. TILIX	B	Dividend	L	T	Buy (add'l)	07/09/15	J		
60. TILVX	C	Dividend	L	T	Buy (add'l)	07/28/15	J		
61. TISBX	B	Dividend	K	T	Buy (add'l)	07/09/15	J		
62. TCIEX	A	Dividend	K	T	Buy (add'l)	07/28/15	J		
63. TIHYX	B	Dividend	K	T	Buy (add'l)	06/19/15	J		
64. PELBX	A	Dividend	K	T	Buy (add'l)	06/19/15	J		
65. TIP	A	Dividend	K	T	Buy (add'l)	07/28/15	J		
66. TIAA REAL ESTATE	B	Dividend	O	T	Buy (add'l)	07/28/15	J		
67. TIAA TRADITIONAL			N	T	Buy	01/07/15	N		
68. TIAA TRADITIONAL	C	Interest	N	T	Buy	01/07/15	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
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69. VANGUARD 500 IX	B	Dividend	K	T	Buy (add'l)	07/28/15	L		
70. T-C SOCIAL CHOICE EQLAST	D	Dividend	M	T	Buy (add'l)	12/11/15	J		
71. T-C SOCIAL CHOICE EQLAST	C	Dividend	M	T	Buy (add'l)	12/11/15	J		
72. TIAA VARIABLE ANNUITY			N	T					
73. T-C LIFE CYCLE 2010	A	Dividend	K	T	Buy (add'l)	12/18/15	J		
74. T-C LIFE CYCLE 2010	A	Dividend	K	T	Buy (add'l)	12/18/15	J		
75. VANGUARD INTERTERM TAX EXEMPT FUND (MONEY MARKET)		None	M	T	Buy (add'l)	6/18/15	M		
76. VANGUARD INTERIM TAX EXEMPT FUND (MONEY MARKET)		None	M	T	Sold (part)	07/02/15	M		
77. VSGAX		None	K	T	Buy (add'l)	06/12/15	K		
78. VSGAX		None	K	T	Sold (part)	06/17/15	K		
79. CREF BOND MARKET		None	K	T	Buy (add'l)	01/05/15	J		
80. CREF BOND MARKET		None	K	T	Buy (add'l)	01/08/15	L		
81. CREF BOND MARKET		None	K	T	Buy (add'l)	01/13/15	L		
82. CREF BOND MARKET		None	K	T	Sold (part)	02/06/15	L		
83. CREF BOND MARKET		None	K	T	Sold (part)	03/06/15	L		
84. CREF GROWTH		None	M	T	Buy (add'l)	01/05/15	J		
85. CREF GROWTH		None	M	T	Buy (add'l)	01/08/15	L		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. CREF GROWTH		None	M	T	Buy (add'l)	01/13/15	M		
87. CREF STOCK		None	M	T	Buy (add'l)	01/05/15	J		
88. CREF STOCK		None	M	T	Buy (add'l)	01/08/15	L		
89. CREF STOCK		None	M	T	Buy (add'l)	01/13/15	M		
90. CREF EQUITY INDEX		None	M	T	Buy (add'l)	01/05/15	J		
91. CREF EQUITY INDEX		None	M	T	Buy (add'l)	01/08/15	L		
92. CREF EQUITY INDEX		None	M	T	Buy (add'l)	01/13/15	M		
93. T-C SOCIAL CH EQ-INST		None	M	T	Buy (add'l)	01/05/15	J		
94. T-C SOCIAL CH EQ-INST		None	M	T	Buy (add'l)	01/08/15	L		
95. T-C SOCIAL CH EQ-INST		None	M	T	Buy (add'l)	01/13/15	M		
96. TIAA REAL ESTATE		None	O	T	Buy	02/06/15	L		
97. TIAA REAL ESTATE		None	O	T	Buy (add'l)	03/06/15	L		
98. TIAA REAL ESTATE		None	O	T	Buy (add'l)	04/21/15	N		

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

VII. Line 2: Garrison, Levin-Epstein, Richardson, Fitzgerald & Pirrotti, P.C. and 401k American Funds: The filer has no authority or control to select the funds within this plan. Terminated end of 2015.

VII Lines 6 and 72: Bought monthly, less than \$1,000 each month.

VII Lines 5 through 76: Quarterly dividends aggregate for entire year.

VII Line 72: Underlying assets reported in lines 9, 10, 11, 79-83, 84-86, 87-89, 90-92.

VII Lines 96-98: Gain in share price but zero income in interest, dividend or capital gains.

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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