

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 5/15/2014
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 01/01/2013 to 12/31/2013
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. 05/13/95 | Garrison, Levin-Epstein, Richardson, Fitzgerald, & Pirrotti P.C.: Profit Sharing Plan/401k Plan. (No control.) |
| 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. 2013	Salary-George Washington University
2. 2013	Royalties-Rowman and Littlefield Publishers
3. 2013	Honoraria: American University, Cairo Egypt (\$2,015)
4.	

IV. REIMBURSEMENTS *- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 23-27 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		(6) Type (e.g., buy, sell, redemption)	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)		(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. Janus Overseas Fund (formerly Janus Global and Int'l)	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	K	T						
5. Garrison, et al Profit Sharing Plan/401k: American Funds	A	Dividend	O	T						
6. Vanguard Windsor Fund	A	Dividend	M	T						
7. /CREF Growth Fund	A	Dividend	K	T						
8. Columbia Value & Restructuring	A	Dividend	M	T						
9. Vanguard Morgan Growth Fund	A	Dividend	M	T						
10. Vanguard Capital Growth	A	Dividend	L	T						
11. People's Bank (CD)	A	Interest	J	T						
12. People's Bank (CD)	A	Interest	J	T						
13. Vanguard Mid Cap Index	A	Dividend	L	T						
14. Vanguard Small Company Growth	A	Dividend	L	T						
15. Vanguard International Value Fund	A	Dividend	M	T						
16. CT Higher Ed Trust	A	Dividend	K	T	Buy (add'l)		J			
17. Interterm Tax Exempt Fund (formerly Vanguard Muni Bond Fund)	A	Interest	J	T	Sold (part)	12/30/13	K			

1. Income Gains 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 - \$1,000,000

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 - \$1,000,000

M = \$100,001 - \$250,000
P2 = \$25,000,001 - \$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

S = Assessed
W = Estimated

T = Cook Market

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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)
18. Vanguard Small Cap Growth IDX Admiral	A	Dividend	L	T					
19. Vanguard International Fund	A	Dividend	L	T					
20. Vanguard Institutional Index	A	Dividend	M	T					
21. Vanguard Prime Money Market Fund	A	Dividend	J	T	Sold		J		
22. CREF Money Market	A	Dividend	J	T	Sold (part)	11/4/13	M		
23. Fidelity Retirement Money Market	A	Dividend	J	T	Sold	11/4/13	O		
24. CREF Stock Portfolio	A	Dividend	K	T	Buy (add'l)		J		
25. CREF Equity Index	A	Dividend	K	T	Buy (add'l)		J		
26. CREF Bond Market	A	Dividend	K	T	Buy (add'l)		J		
27. CREF Social Choice	A	Dividend	K	T	Buy (add'l)		J		
28. Vanguard Annuity Money Market	A	Interest	J	T	Sold (part)	11/4/13	K		
29. CREF Lifestyle 2010 INST	A	Dividend	K	T	Buy	11/4/13	K		
30. Fidelity Pacific Basin	A	Dividend	K	T	Buy	11/4/13	K		
31.									
32.									
33.									
34.									

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(See Columns B1 and D4)

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

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

P2 = \$5,000,001 - \$25,000,000
P4 = More than \$50,000,000

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

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)

S = Assessment
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T = Cash Market

3. Value Method Codes
(See Column C2)

Q = Appraisal
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V = Other

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rest, 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)
35.									
36.									
37.									
38.									
39.									
40.									
41.									
42.									
43.									
44.									
45.									
46.									
47.									
48.									
49.									
50.									
51.									

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H2 = More than \$5,000,000

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

2. Value Codes:
(See Columns C1 and D3)

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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)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-F)	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.									
53.									
54.									
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									

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

VII. Paragraph 5: Garrison, Levin-Epstein, Chimes, Richardson & Fitzgerald, P.C. and 401k American Funds/Morgan Stanley Smith Barney: The filer has no authority or control to select the funds within this plan, therefore the funds listed in the 2008 report are being deleted from this and future reports.

VII Line 16, 25, 26, 27, 28, 30 and 31: Bought monthly, less than \$1,000 each month.

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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