

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 5/14/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE/SENIOR (as of 7/1/2014)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2014 to 12/31/2014
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

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. 2014	Salary-George Washington University
2. 2014	Royalties-Rowman and Littlefield Publishers
3. 2014	Honoraria: University of Navarra, Pamplona, Spain
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. United States Patent and Trademark Office	7/18/14 and 7/21/14 through 7/24/14	Burma, Thailand, Cambodia	Workshop for Judges and Public Prosecutors on Intellectual Property Enforcement	Transportation; Visa; Hotel; Per Diem
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

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 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

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. Janus Overseas Fund (formerly Janus Global and Int'l)	A	Dividend			Sold	6/18/14	M		
2. Wells Fargo Adv. Opp. Fund (Formerly Strong Opp. Fund)	A	Dividend			Sold	12/15/14	M		
3. Third Avenue Value Fund	A	Dividend			Sold	12/24/14	M		
4. Vanguard Muni Bond Fund (Money Market Account)	B	Dividend	M	T	Buy	7/15/14	M		
5. Garrison, et al Profit Sharing Plan/401k: American Funds	A	Dividend	O	T					
6. Vanguard Windsor Fund	A	Dividend	M	T	Sold	12/31/14	M		
7. TIAA/CREF Growth Fund	A	Dividend	K	T					
8. Columbia Value and Restructuring	A	Dividend			Sold	12/24/14	M		
9. Vanguard Morgan Growth Fund	A	Dividend	M	T	Sold	12/31/14	M		
10. People's Bank (CD)	A	Interest	J	T					
11. People's Bank (CD)	A	Interest	J	T					
12. Vanguard Mid Cap Index	A	Dividend	L	T	Sold	12/24/14			
13. Vanguard Small Company Growth	A	Dividend	L	T	Sold	12/24/14			
14. Vanguard International Value Fund	A	Dividend	M	T	Sold	12/31/14	M		
15. CT Higher Ed Trust	A	Dividend	K	T	Buy (add'l)		J		
16. Vanguard Interterm Tax Exempt Fund	A	Interest	K	T	Buy (add'l)		K		
17. Vanguard Small Cap Growth IDX Admiral	A	Dividend	M	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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) 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 International Fund	A	Dividend	L	T	Sold	12/24/14	L		
19. Vanguard International Index	A	Dividend	M	T	Sold	12/31/14	M		
20. CREF Money Market	A	Dividend	J	T					
21. CREF Stock Portfolio	A	Dividend	K	T	Buy (add'l)		J		
22. CREF Equity Index	A	Dividend	K	T	Buy (add'l)		J		
23. CREF Bond Market	A	Dividend	K	T	Buy (add'l)		J		
24. CREF Social Choice	A	Dividend	K	T	Buy (add'l)		J		
25. Vanguard Annuity Money Market	A	Interest	N	T	Buy	12/24/14	N		
26. Vanguard Annuity Money Market	A	Interest	N	T	Sold	12/31/14	N		
27. CREF Lifestyle 2010 INST	A	Dividend	K	T	Buy (add'l)		K		
28. Fidelity Pacific Basin	A	Dividend	K	T	Sold	12/31/14	K		
29. Vanguard 500 Index Fund	A	Dividend	L	T	Buy	3/27/14	L		
30. Vanguard Variable Annuity	A	Dividend	N	T	Sold	12/31/14	N		
31. Janus Global Life Sciences Fund	A	Dividend	M	T	Buy	6/18/14	M		
32. Vanguard Capital Growth	A	Dividend	L	T	Sold	12/24/14	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

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, 22, 23, 24, 25, and 27: Bought monthly, less than \$1,000 each month.

VII Line 12, 13, 18, 25, 26 and 32 comprise the totality of the Vanguard Variable Annuity listed in Line 30.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

ARTERTON, JANET B.

Date of Report

5/14/2015

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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