AO-10
Rev. 1/2004

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

| | | |
|---|---|---|
| 1. Person Reporting (Last name, First name, Middle initial)<br>ARTERTON, JANET B | 2. Court or Organization<br>U.S. DISTRICT COURT | 3. Date of Report<br>5/5/2004 |
| 4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time)<br>ARTICLE III JUDGE/ACTIVE | 5. ReportType (check appropriate type)<br>○ Nomination, Date<br>○ Initial ◉ Annual ○ Final | 6. Reporting Period<br>1/1/2003<br>to<br>12/31/2003 |
| 7. Chambers or Office Address<br>U.S. DISTRICT COURT<br>141 CHURCH STREET<br>NEW HAVEN, CT 06510 | 8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.<br>Reviewing Officer________ Date______ | |

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. Sign on last page.

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☑ NONE - (No reportable positions.)

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE - (No reportable agreements.)

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | 05/13/95 | Arterton/Garrison, Phelan, Levin-Epstein & Penzel, P.C., life insurance premiums through 05/05. |
| 2. | 04/01/92 | GASWICK Properties; real estate partnership, New Haven, CT (20%) ownership--ongoing. |
| 3. | 05/13/95 | Garrison, Levin-Epstein, Chimes & Richardson, P.C. : Profit Sharing Plan/401k Plan. (No control.) |

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| ARTERTON, JANET B | 5/5/2004 |

## III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

### A. Filer's Non-Investment Incom

☐ NONE - (No reportable non-investment income.)

| | DATE | SOURCE AND TYPE | GROSS INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | 2003 | Garrison, Levin-Epstein, Chimes & Richardson, P.C. | 5,200.00 |
| 2. | 2003 | GASWICK Properties | 3,998.00 |

### B. Spouse's Non-Investment Income (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☐ NONE - (No reportable non-investment income.)

| | DATE | SOURCE AND TYPE |
|---|---|---|
| 1. | 2003 | George Washington University-Professor |
| 2. | 02/2003 | Honorarium: Congress of Mexico through George Washington University $1,000 |
| 3. | 05/2003 | Honorarium: Organization of American States $500 |

## IV. REIMBURSEMENTS – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE - (No such reportable reimbursements.)

| | SOURCE | DESCRIPTION |
|---|---|---|
| 1. | U.S. Embassy, Barbados | Speaker at Internat. Law Association-Carribean Regional Conf. and meetings, Bridgetown, Barbados, 3/27-3/30, 2003 (transport. & per diem) |
| 2. | International Development of Law Organization, Rome | Instructor at Judicial Training Program, Pristina, Kosovo, 9/8-9/14/03 (transport. & per diem). |

## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☑ NONE - (No such reportable gifts.)

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☐ NONE - (No reportable liabilities.)

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Webster Bank | Mortgage on commercial property; New Haven, CT (see II). | M |

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# VII. INVESTMENTS and TRUSTS – income, value, transcations (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A. Description of Assets (including trust assets) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | If not exempt from disclosure | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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, merger, redemption) | (2) Date: Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| ☐ NONE (No reportable income, assets, or transactions) | | | | | | | | | |
| 1. Janus Global and International | A | Dividend | L | T | | | | | |
| 2. Strong Opportunity Fund | A | Dividend | L | T | | | | | |
| 3. Third Avenue Value Fund | A | Dividend | M | T | | | | | |
| 4. Vanguard Muni Bond Fund (Money Market Account) | B | Dividend | M | T | | | | | |
| 5. Real Property/New Haven, CT: appraisal: 4/26/01 (20% share) | C | Rent | L | S | | | | | |
| 6. Garrison, et al Profit Sharing Plan/401k: American Funds | A | Dividend | N | T | | | | | |
| 7. Vanguard Windsor Fund | A | Dividend | K | T | Buy/mo. | | J | | |
| 8. TIAA/CREF Growth Fund | A | Dividend | K | T | Buy/mo. | | J | | |
| 9. Excelsior Value & Restructuring | A | Dividend | K | T | | | | | |
| 10. Vanguard Morgan Growth Fund | A | Dividend | K | T | Buy/mo. | | J | | |
| 11. Vanguard International Value Fund | A | Dividend | K | T | Buy/mo. | | J | | |
| 12. Vanguard 500 Index Fund | A | Dividend | K | T | Buy/mo. | | J | | |
| 13. Firsthand Technology Value Fund | A | Dividend | J | T | | | | | |
| 14. Goldman Sachs Internet Tollkeeper | A | Dividend | K | T | | | | | |
| 15. AYALA | A | Dividend | J | T | | | | | |
| 16. Agere Systems | A | Dividend | J | T | | | | | |
| 17. People's Bank (CD) | A | Interest | J | T | | | | | |
| 18. Nationwide Annuity: | E | Interest | M | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income/Gain Codes: | A = $1,000 or less | B = $1,001-$2,500 | C = $2,501-$5,000 | D = $5,001-$15,000 | E = $15,001-$50,000 |
| (See Columns B1 and D4) | F = $50,001-$100,000 | G = $100,001-$1,000,000 | H1 = $1,000,001-$5,000,000 | H2 = More than $5,000,000 | |
| 2. Value Codes: | J = $15,000 or less | K = $15,001-$50,000 | L = $50,001-$100,000 | M = $100,001-$250,000 | |
| (See Columns C1 and D3) | N = $250,000-$500,000 | O = $500,001-$1,000,000 | P1 = $1,000,001-$5,000,000 | P2 = $5,000,001-$25,000,000 | |
| | P3 = $25,000,001-$50,000,000 | | P4 = $More than $50,000,000 | | |
| 3. Value Method Codes | Q = Appraisal | R = Cost (Real Estate Only) | S = Assessment | T = Cash/Market | |
| (See Column C2) | U = Book Value | V = Other | W = Estimated | | |

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| A. Description of Assets (including trust assets) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | If not exempt from disclosure | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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, merger, redemption) | (2) Date: Month - Day | (3) Value Code 2 (J-P) | (4) Gain Code 1 (A-H) | (5) Identity of buyer/seller (if private transaction) |
| 19. - Strong International | | | | | Sell | 10/03 | J | A | |
| 20. - Strong VIP Opp. Fund 2 | | | | | | | | | |
| 21. - Neuberger Berman Partners Portfolio | | | | | | | | | |
| 22. - Gartmore GVIT Small Company Fund | | | | | Buy | 10/03 | J | A | |

| | | | | | |
|---|---|---|---|---|---|
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| (See Columns C1 and D3) | N = $250,000-$500,000 | O = $500,001-$1,000,000 | P1 = $1,000,001-$5,000,000 | P2 = $5,000,001-$25,000,000 | |
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## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

## 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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signat[redacted] Date 5 May 2004

NOTE: [redacted]Y INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544