AO 10 Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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)	2. Court or Organization	3. Date of Report
ARTERTON, JANET B.	U.S. DISTRICT COURT	5/15/2012
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 01/01/2011 to 12/31/2011
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. Insert signature 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.	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, Chimes, Richardson & Fitzgerald, 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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2011	Salary-George Washington University
2. 2011	Royalties-Rowman and Littlefield Publishers
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federal Bar Council	2/19/11 - 2/26/11	Los Cabos, Mexico	Winter Bench & Bar Conference	Transportation, lodging, food
2. The Daily Beast/Newsweek	3/10/11-3/12/11	New York, NY	Women in the World Conference Panel	Transportation, lodging, food
3. Virtue Foundation	3/31/11-4/1/11	Washington, D.C.	Senior International Judges Roundtable	Transportation, food
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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, 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	M	T					
2. Wells Fargo Adv. Opp. Fund (Formerly Strong Opp. Fund)	A	Dividend	J	T	Sold (part)	7/12/11	M		
3. Third Avenue Value Fund	A	Dividend	J	T	Sold (part)	7/12/11	M		
4. Vanguard Muni Bond Fund (Money Market Account)	B	Dividend	K	T					
5. Garrison, et al Profit Sharing Plan/401k: American Funds	A	Dividend	N	T					
6. Vanguard Windsor Fund	A	Dividend	J	T	Sold (part)	7/12/11	L		
7. TIAA/CREF Growth Fund	A	Dividend	J	T					
8. Excelsior (formerly Columbia Value & Restructuring)	A	Dividend	J	T	Sold (part)	7/12/11	L		
9. Vanguard Morgan Growth Fund	A	Dividend	J	T	Sold (part)	7/12/11	M		
10. Vanguard Capital Growth	A	Dividend	J	T	Sold (part)	7/12/11	L		
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	J	T	Sold (part)	7/12/11	L		
14. Vanguard Small Company Growth	A	Dividend	J	T	Sold (part)	7/12/11	L		
15. Vanguard International Value Fund	A	Dividend	J	T	Sold (part)	7/12/11	L		
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	K	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	

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Vanguard Small Cap Growth IDX Admiral	A	Dividend	K	T	Merged (with line 19)	12/6/11	K		
19. Vanguard Small Cap Growth (2 accounts)	A	Dividend	K	T	Sold	12/6/11	K		
20. Vanguard International	A	Dividend	J	T	Sold (part)	7/12/11	M		
21. Vanguard Institutional Index	A	Dividend	J	T	Sold (part)	7/12/11	L		
22. Vanguard Prime Money Market Fund	A	Dividend	N	T	Buy	7/12/11	N		
23. CREF Money Market	A	Dividend	M	T	Buy	7/12/11	M		
24. Columbia Value and Restructuring	A	Dividend	J	T	Buy	7/12/11	J		
25. Fidelity Retirement Money Market	A	Dividend	O	T	Buy	7/12/11	O		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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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: 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
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