UNITED STATES DISTRICT COURT
DISTRICT OF CONNECTICUT
141 CHURCH STREET
NEW HAVEN, CONNECTICUT 06510

CHAMBERS OF
JANET BOND ARTERTON
UNITED STATES DISTRICT JUDGE TEL . •••••
(AREA CODE 203)

July 13, 2007
Chairman Ortrie D. Smith Administrative Office of the United States Courts One Columbus Circle, N.E. Suite 2-301
Washington, D.C. 20544
Dear Chairman Smith:
I enclose my Amended Financial Disclosure Report for calendar year 2006, and three copies.
Thank you.

FINANCIAL DISCLOSURE REPORT
in Government Act of 1978
Rev. 1120 07
FOR CALENDAR YEAR 2006 (5 U.S.C. app. §§ 10 1-111)
I. P•rson Reporting (last name, first, middle initial) 2. Court or Organization
3. Date of Report
07/09/2007
ARTERTON, JANET B U.S. DISTRICT COURT
4. Title (Article III judges indicate active or senior status; Sa. Report Type (check appropriate type)
6. Reporting Period
magistrate judges indicate full-or part-time)
0110112006
Nomination, Date
D
ARTICLE Ill JUDGE/ACTIVE
to
Initial Annual Final
D [81 D
12/31/2006
Sb. Amended Report
[81
7. Chambers or Office Address 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.
U.S. DISTRICT COURT
141 CHURCH STREET
NEW HA VEN, CT 06510

Reviewing Officer Date
IMPORT ANT N 0TES: 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. POSJTJ ONS. (Reporting individual only; see pp. 9-13 of instructions.)
[20 NONE (No reportable positions.)
POSITION NAME OF ORGANIZATION/ENTITY

I.
2.

3.

4.

5.

.......,

=
c.n =
__,
() ;rJ
r--r,
c:::;::--::; c::: rn (_I&#65533;,·
r-CJc:: > ;:JJ:;,:: 0-rn
JJ. AGREEMENTS. (Reporting individual only; see pp. 14-16 of instructions.)
r.;
OS-'>
c:7,0 NONE (No reportable agreements.) -11r-)>
rn

() 0 PAR TIES AND TERMS rri
I. 05113195 Garrison, Levin-Epstein, Chimes & Richardson, P.C.: Profit Sharing Plan/40 Ik Plan. (No control.)
2.

3.

Date of Report
Name of Person Reporting
·
FINANCIAL DISCLOSURE REPORT
Page 2of8

07/09/2007
ARTERTON, JANET B
III. N 0 N-INVES TMENT INC 0 ME. (Reporting individual and spouse; see pp. 17-24 of instructions.)
A. Filer's Non-Investment Income
[Kl NONE (No reportable non-investment income.)

SOURCE AND TYPE INCOME
(yours, not spouse's)
I.
3.
4.
5.

B. Spouse's Non-Investment Income -If you were married during any portion of the reporting year, complete tlris section.
(Dollar amount not required except for honoraria.)
0 NONE (No reportable non-investment income.)

SOURCE AND TYPE
I. 2006 George Washington University--Salary; -Professor
2. 2006 Royalties: Rowman and Littlefield Publishers
3. 2006 Honoraria: Department of State

5.

IV, REIMBURSEMENTS -transportation, /odging,food, entertainmenl
(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)
D NONE {No reportable reimbursements.) SOURCE DESCRIPTION
American Law Institute/American Bar Association Participant at Continuing Legal Education Program, Georgetown Law School, Washington,
D. C., 2/9-2/10/06 (transportation, meals and hotel).
2.
U.S. Embassy, China Law school lectures, Beijing, Nanjing and Shanghai, 10/14-10/21/06 (transportation and per diem for food, lodging and expenses).

3.
U.S. Embassy, Cambodia Meetings with judiciary, court observations, I 0/22-10/28/06 (transportation and per diem for food, lodging and expenses).

4.

5.

·FINANCIAL DISCLOSURE REPORT Page 4of8 Name of Person Reporting ARTERTON, JANET B Date of Report 07/09/2007
V. GIFTS. (Includes those to spouse and dependent children. See pp. 18-31 of instructions.) IKJ NONE (No reportable gifts.) SOURCE DESCRIPTION 1. VALUE

2.

3.

4.

5.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of instructions.)
IKJ NONE (No reportable liabilities.)
CREDITOR DESCRIPTION VALUE CODE

4.

5.

Name of Person Reporting
Date of Report
·FINANCIAL DISCLOSURE REPORT Page 5of8
ARTERTON, JANET B
07/09/2007
VII. INVESTMENTS and TRUSTS -income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.) D NONE (No reportable income, assets, or transactions.)
A. B. c. D.
Description of Assets Income during Gross value at end of Transactions during reporting period
(including trust assets) reporting period reporting period

(2) (1)
(2)
(2)
(1)
(3)
(1)
(4)
Amount
Type (e.g. Value
Value
Place "(X)" after each asset
Date
Value
Type (e.g.
Gain Identity of
Code l
div., rent, Code 2
Method
exempt from prior disclosure
buy, sell,
Month-
Code 2
Code 1 buyer/seller
(A-H)
or int.) (J-P)
Code 3
redemption)
Day
(if private
(A-H)
(Q-W)
I. Janus Global and International A Dividend M T
2.
Wells Fargo Adv. Opp. Fund (Formerly A Dividend M T Strong Opp. Fund)

3.

Third Avenue Value Fund A Dividend M T

4.
Vanguard Muni Bond Fund (Money Market B Dividend M T Account)

5.
Garrison, et al Profit Sharing Plan/40lk: A Dividend N T American Funds

6.
Vanguard Windsor Fund A Dividend L T Buy/mo. J

TIAA/CREF Growth Fund A Dividend L T Buy/mo. J
8. Excelsior Value & Restructuring A Dividend L T
Vanguard Morgan Growth Fund A Dividend ,L T Buy/mo. J
IO. Schwab US Treas. Money Fund A Dividend K T Sell 01106 K
I I. Vanguard 500 Index Fund A Dividend K T Buy/mo. J
12.
AYALA

A Dividend J T
13.
People's Bank (CD) A Interest J T

14.
Gartmore GVIT Emerging Market III B Dividend K T Buy 01/06 K

15.
Nationwide Annuity: E Distribution N T

16.
-American Century VIP lnome & Growth Dividend K T Sell 01/06 K

17.
-Wells Fargo Adv.Opp.Fund (Formerly A Dividend M T

transaction)
I. Income Gain Codes: A =$1,000 or less B =$1,001 -$2,500 c =$2,501 -$5,000 D =$5,001 -$15,000 E =$15,00 I -$50,000
(See Columns BI and D4) F =$50,001 -$100,000 G =$100,001 -$1,000,000 HI =$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 Cl and D3) N =$250,001 -$500,000 0 =$500,001 -$1,000,000 Pl =$1,000,001 -$5,000,000 P2 =$5,000,001 -$25,000,000
3. Value Method Codes P3 =$25,000,001 -$50,000,000 R =Cost (Real Estate Only) P4 =More than $50,000,000 T =Cash Market
(See Column C2) Q =Appraisal V =Other S =Assessment
U =Book Value W =Estimated

Name of Person Reporting
·FINANCIAL DISCLOSURE REPORT Page 6of8
07/09/2007

ARTERTON, JANET B
VII. INVESTMENTS and TRUSTS income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instructions.)
-
D 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 (I) Amount Code I (A-H) (2) Type (e.g. div., rent, or int.) (I) Value Code 2 (J-P) (2) Value Method Code 3 (Q-W) (I) Type (e.g. buy, sell, redemption) (2) Date Month Day (3) Value Code 2 (J-P) (4) Gain Code I (A-H) (5) Identity of buyer/seller (if private transaction)

Strong VIP Opp. Fd)
18.
-Neuberger Berman Partners Portfolio A Dividend L T

19.
-Gartmore GVIT Small Company Fund A Dividend K T Sell 01/06 K

20.
Vanguard International Value Fund A Dividend M T Buy/mo L

21.
CT Higher Ed Trust A Dividend J T Buy/mo 03106 J

22.
Vanguard Muni Bond Fund A Interest K T Buy 0106 K

23.
Vanguard Small Cap Growth A Dividend K T Buy 01/06 K

24.
People's Bank CD A Interest J T Buy 12/06 J

25.
Gartmore GVIT Int'! GR III B Dividend K T Buy 01/06 K

l. Income Gain Codes: A =$I ,000 or less B =$I ,00 I -$2,500 C =$2,50I -$5,000 D =$5,001 -$15,000 E ,,,s15,001 -$50,000
(See Columns BI and D4) F =$50,001 -$100,000 G =$100,001 -Sl,000,000 HI =$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 CJ and D3) N =$250,001 -$500,000 0 =$500,001 -$1 ,000,000 Pl =$1,000,001 -$5,000,000 P2 =$5,000,001 -$25,000,000
3. Value Method Codes P3 =$25,000,001 -$50,000,000 R =Cost (Real Estate Only) P4 =More than $50,000,000 T =Cash Market
(See Column C2) Q =Appraisal V =Other S =Assessment
U =Book Value W =Estimated

Date of Report
Name of Person Reporting
·FINANCIAL DISCLOSURE REPORT

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. (lndicateparto/Report.)

Name of Person Reporting Date of Report
·FINANCIAL DISCLOSURE REPORT
ARTERTON, JANET B 07/09/2007
Page 8of8
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.

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
FINANCIAL DISCLOSURE REPORT
AOlO
in Government Act of 1978
Rev. 112007
FOR CALENDAR YEAR 2006 {5 U.S.C. app. §§ 101-111)
I. Person Reporting (last name, first, middle initial) ARTERTON, JANET B 2. Court or Organization U.S. DISTRICT COURT 3. Date of Report 05/3/2007
4. Title (Article 111 judges indicate active or senior status; magistrate judges indicate full-or part-time) ARTICLE III JUDGE/ACTIVE Sa. Report Type (check appropriate type) D Nomination, Date D Initial Annual D final 6. Reporting Period 0110112006 to 12/31/2006
Sb. D Amended Report
7. Chambers or Office Address U.S. DISTRICT COURT 141 CHURCH STREET 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. Reviewing Officer Date

IMPORT ANT NOTES: The instructions accompanying this form mast be followed. Complete all parts, checking the NONE box far each part where yaa lrave no reportable information. Sign an last page.
I. POS ITI 0 NS. (Reporting individual only; see pp. 9-13 of instructions.)
NONE (No reportable positions.)
POSITION NAME OF ORGANIZATION/ENTITY
I.

5.
I l. AG RE EME NTS. (Reporting individual only; see pp. 14-16 of instructions.)
NONE (No reportable agreements.)
D

PARTIES AND TERMS
I. 05113/95 Garrison, Levin-Epstein, Chimes & Richardson, P.C.: Profit Sharing Plan/401 k Plan.

2.

Date of Report
FINANCIAL DISCLOSURE REPORT ·Page 2of8
ARTERTON, JANET B
05/3/2007
Ill. N 0 N-INVESTMENT INC 0 ME. (Reporting individual and spouse; see pp. I 7-14 of instructions.)
A. Filer's Non-Investment Income [KJ NONE (No reportable non-investment income.)
SOURCE AND TYPE INCOME (yours, not spouse's)
I.

2.
4.

5.

B. Spouse's Non-Investment Income -If you were married during any portion of the reporting year, complete this section.
(Dollar amounf no/ required except for honoraria.)
D NONE (No reportable non-investment income.) SOURCE AND TYPE

I. 2006 George Washington University--Salary; -Professor
2.
2006 Royalties: Rowman and Littlefield Publishers

3.
2006 Honoraria: Department of State

4.

IV, RE IMB URSE MENTS -tramportation, lodging, food, entertainmenl
(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)
D NONE (No reportable reimbursements.) SOURCE DESCRIPTION
American Law Institute/ American Bar Association Participant at Continuing Legal Education Program, Georgetown Law School, Washington, D.C., 219-2110106 (transportation, meals and hotel)

U.S.
Embassy, China Law school lectures, Beijing, Nanjin and Shanghai, 10/14-10/21/06 (transportation and per diem for food, lodging and expenses).

U.S.
Embassy, Cambodia Meetings with judiciary, court observations, I 0/22-10/28/06 (transportation and per diem for food, lodging and expenses).

Department of Justice/Department of State (OPDA T), Judicial workshop 3/12-3/16/06 (transportation and reimbursement for food and lodging Suriname

Date of Report
FINANCIAL DISCLOSURE REPORT ·Page 3of8
ARTERTON, JANET B
05/3/2007
5.

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)
IBJ NONE (No reportable gifts.) SOURCE DESCRIPTION VALUE
I.
2.
4.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of instructions.)
IBJ NONE (No reportable liabilities.) CREDITOR DESCRIPTION VALUE CODE
I.
2.

3.

4.

5.

Date of Report
FINANCIAL DISCLOSURE REPORT Page 5 of 8

ARTERTON, JANET B
051312007
VII. INVESTMENTS and TRUSTS -income, value, transactions (Includes those of the spouse and dependent l'hildren. See pp. 34-60 of filing instructions.)
D NONE (No reportable income, assets, or transactions.)
A B. c. D.
Description of Assets Income during Gross value at end of Transactions during reporting period
(including trust assets) reporting period reporting period
(!) (2) (I) (2) (!) (2) (3) (4) (5)
Place "(X)" after each asset Amount Type (e.g. Value Value Type (e.g. Date Value Gain Identity of
exempt from prior disclosure Code l div., rent, Code 2 Method buy, sell, Month -Code 2 Code I buyer/seller
(A-H) or int.) (J-P) Code 3 redemption) Day (J-P) (A-H) (if private
(Q-W) transaction)

I. Janus Global and International A Dividend M T
2. Wells Fargo Adv. Opp. Fund (Fonnerly 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 M T
5. Garrison, et al Profit Sharing Plan/401 k: American Funds A Dividend N T
6. Vanguard Windsor Fund A Dividend L T Buy/mo. J
7. TIAA/CREF Growth Fund A Dividend L T Buy/mo. J
8. Excelsior Value & Restructuring A Dividend L T

9. Vanguard Morgan Growth Fund A Dividend L T Buy/mo. J
10. Schwab US Treas. Money Fund A Dividend K T Sell 01/06 K
11 Vanguard 500 Index Fund A Dividend K T Buy/mo J
12. AYALA A Dividend J T
13. Agere Systems A Dividend J T
14. People's Bank (CD) A Interest J T
15. Nationwide Annuity· E Distribution N T
16. -American Century VIP lnome & Growth Dividend K T
17. -Wells Fargo Adv.Opp.Fund (Fonnerly A Dividend M T

I Income Gain Codes: A =$I ,000 or less B 0$ I ,OO1 -$2,500 C 0$2.50 I -$5,000 D 0$5,001 -$15,000 E 0$15.001 · $50.000
(Sec Columns B 1 and 04) F -$50,001 • $100.000 G 0$ I 00.00 I -$1,000.000 111 °$1,000,00 I -$5,000,000 H2 "More than $5,000,000
2. Value Codes J $15,000 or less K 0$15,001. $50,000 L "$50,001 -$100,000 M "$100,001 -$250,000
(Sec Columns CI and DJ) N °$250.00 I · $500,000 0 -$500,00 I . $1,000,000 PI "$1,000,00 I · $5.000,000 P2 °$5,000,001 -$25,000,000
). Value Method Codes Pl 0$25,000.001 -$50,000.000 R '='Cost (Real Estate Only) P4 =More than S50.000,000 T =Cash Market
(Sec Column C2) Q '""Appraisal V =Other S =.Asscssmcm
U "'Book Value W =Estimated

Name of Person Reporting
Date of Report
FINANCIAL DISCLOSURE REPORT

VII. INVESTMENTS and TRUSTS -income, value, transactions (Includes those of the spouse and dependent children. See pp. 34-60 of filing instrnctions.)
D NONE (No reportable income, assets, or transactions.)

I. Income Gain Codes: A =$ l ,000 or less B =Sl,001 -$2,500 C =S2.50 I · S5,0-00 D =$5,00 I -$15,000 E •$I S,00 I $50.000
(Sec Columns B 1 and 04) F =$50,0-0 I -$100,000 G =$I 00,00 I -S 1.00-0,000 HI =Sl,0-00,0-01. S5.000,000 H2 =More than $5,000,000 2 Value Codes J =S 15,000 or less K =$15,001 · SS0.0-00 L =$50,0-0 I · SI 00,000 M =SI0-0,001 -$250.000

Date of Report
FINANCIAL DISCLOSURE REPORT Page 7of8
ARTERTON, JANET B
05/3/2007
VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. (lndicatepartofReporl}

FINANCIAL DISCLOSURE REPORT NaHrPerson Reporting · Date ofRePii,&#65533;/
Page 8of8 ARTERTON, JANET B 05/3/2007 ..

.! ..
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.

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