AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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 - DISTRICT OF CONNECTICUT	03/30/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
ARTICLE III JUDGE (SENIOR)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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.	Chair	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.		
2.		
3.		

Name of Person Reporting	Date of Report
ARTERTON, JANET B.	03/30/2022

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.	2021	George Washington University (salary)
2.	2021	University of Navarra ($2,325.91 honorarium)
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.					
2.					
3.					
4.					
5.					

Name of Person Reporting	Date of Report
ARTERTON, JANET B.	03/30/2022

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.			

Name of Person Reporting	Date of Report
ARTERTON, JANET B.	03/30/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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. INDIVIDUAL ASSETS (H)									
2. CT HIGHER ED TRUST	D	Dividend	M	T					
3. PEOPLE'S UNITED BANK ACCOUNT (CASH)	A	Interest	K	T					
4. RENTAL PROPERTY #1, WASHINGTON, DC	E	Rent	M	W					
5. ACCOUNT #1 (H)									
6. TIAA BANK RETIREMENT ACCOUNT (cash)	A	Interest	J	T					
7. AQR MANAGED FUTURES STRATEGY FUND I (AQMIX)	A	Dividend	J	T					
8. CREDIT SUISSE MANAGED FUTURES STRATEGY FUND CLASS 1 (CSAIX)	A	Dividend	J	T					
9. DIAMOND HILL LONG-SHORT FUND I (DHLSX)	D	Dividend	L	T					
10. 361 GLOBAL LONG/SHORT FUND CLASS 1 (AGAWX)	B	Dividend	L	T	Buy (add'l)	12/20/21	J		
11. NUVEEN NWQ SMALL CAP VALUE FUND CLASS1 (NSCRX)	A	Dividend	J	T					
12. NUVEEN NWQ SMALL CAP GROWTH OPPS FUND CLASS I (FIMPX)	A	Dividend	J	T	Buy	05/03/21	J		
13.					Buy (add'l)	12/17/21	J		
14. TIAA-CREF INTERNATIONAL EQUITY FUND CLASS 1 (TIIEX)	B	Dividend	L	T	Sold (part)	10/13/21	J		
15. TIAA-CREF LARGE CAP VALUE INDEX FUND (TILVX)	C	Dividend	M	T	Sold (part)	05/07/21	K	C	
16. TIAA-CREF LARGE CAP GROWTH INDEX FUND I (TILIX)	D	Dividend	M	T	Sold (part)	11/12/21	J	B	
17. TIAA-CREF BOND INDEX FUND I (TBIIX)	C	Dividend	M	T	Buy (add'l)	01/04/21	J		

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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ARTERTON, JANET B.	03/30/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)
18.					Buy (add'l)	05/04/21	J		
19.					Buy (add'l)	05/07/21	K		
20.					Buy (add'l)	07/07/21	J		
21.					Buy (add'l)	12/14/21	J		
22.					Buy (add'l)	12/28/21	J		
23. TIAA-CREF HIGH YIELD FUND I (TIHYX)	A	Dividend			Sold	05/03/21	J		
24. ISHARES TR RUSSELL MID CAP VALUE ETF (IWS)	A	Dividend	L	T	Sold (part)	10/19/21	J		
25.					Sold (part)	12/13/21	J	A	
26. ISHARES TR RUSSELL MID CAP GROWTH ETF (IWP)	A	Dividend	K	T	Sold (part)	07/07/21	J	D	
27. ISHARES TR RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T					
28. ISHARES TR RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Sold (part)	05/03/21	J	B	
29. ISHARES TR MSCI EAFE SMALL CAP ETF (SCZ)	A	Dividend	K	T	Sold (part)	05/03/21	J	C	
30. ISHARES TR CORE MSCI EAFE ETF (IEFA)	B	Dividend	L	T					
31. ISHARES INC CORE MSCI EMERGING MKTS ETF (IEMG)	B	Dividend	L	T	Buy (add'l)	12/16/21	J		
32. ISHARES TR BROAD USD HIGH YIELD CORPORATE BOND ETF (USHY)	A	Dividend	J	T	Buy	05/03/21	J		
33. SPDR PORTFOLIO SHORT TERM CORPORATE BD ETF (SPSB)	A	Dividend	J	T					
34. ACCOUNT #2 (H)									

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	
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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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)
35. TIAA CREF STOCK R2		None	O	T	Buy	10/11/21	O		
36. CREF MONEY MARKET R2		None			Sold	10/11/21	O		
37. ACCOUNT #3 (H)									
38. TIAA TRADITIONAL	D	Interest	N	T					
39. ACCOUNT #4 (H)									
40. T-C LIFE CYCLE 2010	D	Dividend	L	T					
41. ACCOUNT #5 (H)									
42. TIAA CREF MONEY MKT R3 (cash)		None	M	T					
43. TIAA CREF STOCK R3		None	N	T					
44. TIAA CREF GROWTH R3		None	N	T	Sold (part)	10/11/21	M		
45. TIAA CREF EQUITY INDEX R3		None	N	T	Sold (part)	10/11/21	M		
46. T-C SOCIAL CH EQ-INST	E	Dividend	O	T					
47. TIAA REAL ESTATE		None	O	T	Buy	10/11/21	N		
48. ACCOUNT #6 (H)									
49. VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND ADM (VWIUX)	A	Dividend	L	T	Buy	09/21/21	L		
50. VANGUARD INTERMEDIATE TERM TAX EXEMPT FUND INV (VWITX)	A	Dividend			Sold	09/21/21	L		
51. VANGUARD MUNI MONEY MARKET (VMSXX) (cash equivalent)	A	Dividend	M	T					

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	
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52. VANGUARD 500 INDEX FUND (VFIAX)	C	Dividend	N	T					

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

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Account #5 is a GWU 401(A) Retirement Plan (TIAA variable annuity). Underlying assets are included in Part VII.

Name of Person Reporting	Date of Report
ARTERTON, JANET B.	03/30/2022

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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Washington, D.C. 20544