

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Kayatta, William J.	2. Court or Organization First Circuit	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse 156 Federal Street Portland, ME 04101		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Trust #2
2.	Member	University of Maine School of Law Board of Visitors
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2012	Withdrawal Agreement with Pierce Atwood LLP
2. 2010	Pierce Atwood LLP Pension Plan (former employer's plan; no control)
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. 2016	Pierce Atwood LLP buyout payments under Withdrawal Agreement	\$87,633.00
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.	
2.	
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. Boston University Law School	04/18/16	Boston, Ma	Moot Court for Students	Transportation and hotel
2.				
3.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. Brokerage Account #1 (H)									
2. -iShares Russell 1000 Gr. Index (IWF)	A	Dividend	K	T					
3. -iShares Russell 1000 Value Index (IWD)	B	Dividend	L	T					
4. -iShares Russell 2000 Gr. Index (IWO)	A	Dividend	J	T	Donated (part)				
5. -ALPS Alerian MLP ETF (AMLPE)	C	Dividend	L	T					
6. -iShares Russell 2000 Index (IWM)	A	Dividend	K	T					
7. -Vanguard Energy ETF (VDE)	A	Dividend	J	T					
8. -Vanguard Inform. Tech. ETF (VGT)	A	Dividend	K	T					
9. -iShares NASDAQ Biotech. Index (IBB)	A	Dividend	K	T					
10. -Consumer Discretionary SPDR (XLY)	A	Dividend	K	T					
11. -Fidelity Advisors New Insights Fund (FNICX)	E	Dividend	M	T					
12. -Health CARE Select SPDR (XLV)	A	Dividend	K	T	Buy (add'l)	11/16/16	K		
13. -Oppenheimer Intern. Bond Fund (OIBCX)	B	Dividend	L	T					
14. -Ivy Asset Strategy Fund (WASCX)	A	Dividend	K	T					
15. -iShares Barclays MBS Bon Fund (MBB)	A	Dividend	K	T					
16. -iShares IBOXX \$ Invt Gr. Corp. Bd. Fund (LQD)	A	Dividend	J	T					
17. -iShares MSCI EAFE Index Fund (EFA)	A	Dividend	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 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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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18. -Materials Select Sector SPDR Fund (XLB)	A	Dividend	K	T	Buy (add'l)	11/21/16	J		
19. -Sector SPDR Consumers STPL (XLP)	A	Dividend	K	T					
20. -Sector SPDR Energy (XLE)	A	Dividend	J	T					
21. -Sector SPDR Industrial (XLI)	A	Dividend	K	T					
22. -Sector SPDR Utilities (XLU)	A	Dividend	J	T					
23. -SPDR Barclays High Yield Bond ETF (JNK)	C	Dividend	L	T					
24. -Vanguard Financial ETF (VFH)	A	Dividend	K	T					
25. -Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend	J	T					
26. -Vanguard MSCI Emerging Mkts ETF (VWO)	A	Dividend			Sold	11/21/16	J	A	
27. -Vanguard Short Term Bond (BSV)	A	Dividend	J	T					
28. -Vanguard Telecommunications SRVCS ETF (VOX)	A	Dividend	J	T					
29. -Elements-Rogers Tr	A	Interest	K	T					
30. -Merrill Lynch Bank Deposit Program	A	Interest	N	T					
31. -BIF Money Fund	A	Interest	K	T					
32. -Blackrock Energy & Resources (BGR)	D	Dividend	K	T					
33. -Henderson Global Equity (HFQAX)	A	Dividend	K	T					
34. -SPDR S&P 500 ETF (SPY)	B	Dividend	M	T					

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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	
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35. -Eaton Vance Tax Managed ETF	A	Dividend	K	T					
36. -Blackstone GSO Strategic (BGB)	C	Dividend	K	T					
37. 401(k) Account #1(H)									
38. -Blackrock Ener.& Res Tr (BGR)	B	Dividend	K	T					
39. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
40. -SPDR BarCap Short-term Corp. Bond (SCP)	B	Dividend	L	T					
41. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					
42. -iShares Aaa-A Rated Corp. Bond (QLTA)	A	Dividend	K	T					
43. -Vanguard Total Stock Market Index (VTI)	B	Dividend	L	T					
44. -Vanguard Dividend Appreciation (VIG)	C	Dividend	M	T					
45. -Powershares S&P ETF (SPLV)	B	Dividend	L	T					
46. -Powershares QQQ Trust, Series 1 (QQQ)	B	Dividend	M	T					
47. -iShares Russell 2000 Index (IWM)	B	Dividend	M	T					
48. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend	K	T					
49. -Powershares DB Commodity Index Tracking Fund (DBC)		None	K	T					
50. -iShares Gold Trust ETF (IAU)	A	Dividend	L	T					
51. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend	L	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -Vanguard MSCI Emerging Markets Index (VWO)	A	Dividend	K	T					
53. -iShares MSCI Germany Index (EWG)	D	Dividend	M	T					
54. -iShares Barclays Tips Bond Fund ((TIP)	A	Dividend	L	T					
55. -Wisdon Tree Asia Local Debt (ALD)	B	Dividend	K	T					
56. -Vanguard REIT Index (VNQ)	B	Dividend	K	T					
57. -Schwab Sweep Account	A	Interest	L	T					
58. - iShares MSCI United K. (EWU)	B	Dividend	K	T					
59. -SPDR S&P 500 (SPY)	C	Dividend	M	T					
60. -Vanguard Int. Equity ETF (VNQI)	C	Dividend	K	T					
61. -Wisdom Tree Japan (DXJ)	C	Dividend	M	T					
62. -Wisdom Tree Trust (BZF)		None	L	T					
63. -Pimco ETF (HYS)	C	Dividend	L	T					
64. -Blackstone?GSO Strategic Credit (BGB)	C	Dividend	L	T					
65. Brokerage Account #2 (H)									
66. -Morgan Stanley Bank N.A.	A	Interest	M	T					
67. -iShares N. America Tech ETF (IGM)	A	Dividend	L	T					
68. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T					

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69. -iShares US Consumer Goods ETF (IYK)	A	Dividend	M	T					
70. -iShares US Energy ETF (IYE)	A	Dividend	L	T	Buy (add'l)	10/11/16	K		
71. -iShares S&P US PFD (PFF)(X)	A	Dividend	K	T	Buy (add'l)	05/11/16	K		
72. -iShares US Aerospace (ITA)	A	Dividend	L	T	Buy	10/14/16	L		
73. -iShares US Med Devices (IHI)(X)	A	Dividend	L	T	Buy (add'l)	10/14/16	K		
74. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
75. -iShares US Tech ETF (IYW)	A	Dividend	M	T					
76. -iShares US Telecomm ETF (IYZ)	B	Dividend	M	T					
77. -Powershares Water Res ETF (PHO)	A	Dividend	L	T					
78. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	L	T					
79. -Ishares US Fin ETF (IYF)	A	Dividend	M	T					
80. -Ishares US Industrial ETF (IYJ)	A	Dividend	M	T					
81. -Ishares Russell 2000 ETF (IWM)	A	Dividend			Sold	06/21/16	L		
82. -ME Health & Higher EDL FACS Auth Re OID (X)	A	Dividend	J	T					
83. -ME EDL LN AUTH Stud LN REV (X)	A	Dividend	J	T					
84. -ME HLTH & High EDL FACS AUTH REV SER-C (X)	A	Dividend	J	T					
85. -ME State HSNG Auth (X)	B	Dividend			Redeemed	06/10/16	K		

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86. -Somerset CNTY ME GO (X)	A	Dividend			Redeemed	11/15/16	J		
87. Pierce Atwood Capital Contribution Notes	E	Interest	N	U	Matured (part)	03/15/16	L	A	
88. Key Bank IRA (CD)	A	Interest	J	T					
89. Bank of America Deposit Account	A	Interest	J	T					
90. Inherited IRA (X)(H)									
91. -iShares N AMER. TECH ETF (IGM)	A	Dividend	K	T					
92. -iShares NASDAQ BIOTECH ETF (IBB)	A	Dividend	K	T					
93. iShares US HealthCARE ETF (IYH)	A	Dividend	J	T					
94. iShares US CONS GOODS ETF (IYK)	A	Dividend	K	T					
95. -iShares US ENERGY ETF (IYE)	A	Dividend	J	T					
96. -iShares US FINANCIALS ETF (IYF)	A	Dividend	K	T					
97. -iShares US INDUS ETF (IYJ)	A	Dividend	K	T					
98. -iShares US MED DEVICES (IHI)	A	Dividend	J	T					
99. -iShares US PHARM ETF (IHE)	A	Dividend	J	T					
100. -iShares US TECH ETF (IYW)	A	Dividend	K	T					
101. -iShares US TELECOM ETF (IYZ)	A	Dividend	K	T					
102. -POWERSHARES WATER RES PTF (PHO)	A	Dividend	J	T					

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103. -CLEARBRIDGE Agg Gr I (SAGYX)	A	Dividend	L	T					
104. Trust # 2 (H)									
105. -Powershares Water Res (PHO)	A	Dividend							
106. -Maine Hlth & Higher EDL FACS AUTH REV SER-A	A	Dividend							
107. -Maine EDL LN AUTH STUDENT LN REV	A	Dividend							
108. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend							
109. -iShares US Consumer Goods ETF (IYK)	A	Dividend							
110. -iShares US Energy ETF (IYE)	A	Dividend							
111. -iShares US Financials ETF (IYF)	A	Dividend							
112. -iShares Industrials ETF (IYJ)	A	Dividend							
113. -iShares US Medical Devices ETF (IHI)	A	Dividend							
114. -iShares US Pharm (IHE)	A	Dividend							
115. -iShares US Tech ETF (IYW)	A	Dividend							
116. -iShares US Telecom ETF (IYZ)	B	Dividend							
117. -Morgan Stanley Liquid Asset Fund	A	Interest							
118. -iShares N. Amer. Tech (IGM)	A	Dividend							
119. -iShares S&P US PFD Stk Ind (PFF)	A	Dividend							

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		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)
120. -Ishares Russell 2000 ETF (IWM)	A	Dividend							

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 = \$250,001 - \$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	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

During 2016, Trust #2 terminated, and all of its assets were distributed.

Any of those distributed assets that went to [REDACTED] are now reflected in the assets listed for Brokerage Acct. #2. The transferred assets, if entirely new holdings, are marked with an "X" in Brokerage Acct. #2. Otherwise, if they simply increased the value of a previously held holding, which sometimes resulted in a change to Column C(1) for Brokerage Acct. #2..

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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/ **William J. Kayatta**

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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