

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Kayatta, William J.                                                                                                                  | <b>2. Court or Organization</b><br><br>First Circuit                                                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>05/14/2019                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Circuit Judge                                                                 | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Courthouse<br>156 Federal Street<br>Portland, ME 04101                                                                                                   |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 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. 2012 | Withdrawal Agreement with Pierce Atwood LLP |
| 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<br>(yours, not spouse's) |
|---------|--------------------------------------------------------------|---------------------------------|
| 1. 2018 | 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. Defense Research Institute       | 04/12/2018 | Boston, MA  | Open CLE presentation   | Transportation and meal  |
| 2. University of Chicago Law School | 04/26/2018 | Chicago, IL | Judge Moot Court Finals | Transportation and hotel |
| 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.)*

| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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                                      | K                                               | T                                         | Sold<br>(part)                                  | 01/18/18                | K                               | D                              |                                                                   |
| 4. -iShares Russell 2000 Gr. Index (IWO)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 5. -iShares Russell 2000 Index (IWM)                                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. -Vanguard Energy ETF (VDE)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. -Vanguard Inform. Tech. ETF (VGT)                                                                                        | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. -iShares NASDAQ Biotech. Index (IBB)                                                                                     | A                                       | Dividend                                      | K                                               | T                                         | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 9. -Consumer Discretionary SPDR (XLY)                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. -Fidelity Advisors New Insights Fund (FNICX)                                                                            | E                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. -Health Care Select SPDR (XLV)                                                                                          | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. -Oppenheimer Intern. Bond Fund (OIBCX)                                                                                  | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. -Ivy Asset Strategy Fund (WASCX)                                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. -iShares Barclays MBS Bon Fund (MBB)                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. -iShares IBOXX \$ Invt Gr. Corp. Bd. Fund (LQD)                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. -iShares MSCI EAFE Index Fund (EFA)                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. -Materials Select Sector SPDR Fund (XLB)                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                     |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                     | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,001 - \$500,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                     | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                  |   |          |   |   |      |          |   |   |  |
|--------------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 18. -Sector SPDR Consumers STPL (XLP)            | A | Dividend | K | T |      |          |   |   |  |
| 19. -Sector SPDR Energy (XLE)                    | A | Dividend | J | T |      |          |   |   |  |
| 20. -Sector SPDR Industrial (XLI)                | A | Dividend | K | T |      |          |   |   |  |
| 21. -Sector SPDR Utilities (XLU)                 | A | Dividend | J | T |      |          |   |   |  |
| 22. -SPDR Barclays High Yield Bond ETF (JNK)     | C | Dividend | J | T |      |          |   |   |  |
| 23. -Vanguard Financial ETF (VFH)                | A | Dividend | K | T |      |          |   |   |  |
| 24. -Vanguard Intermediate Term Bond ETF (BIV)   | A | Dividend | J | T |      |          |   |   |  |
| 25. -Vanguard Short Term Bond (BSV)              | A | Dividend | J | T |      |          |   |   |  |
| 26. -Vanguard Telecommunications SRVCS ETF (VOX) | A | Dividend | J | T |      |          |   |   |  |
| 27. -Elements-Rogers Tr                          | A | Interest |   |   | Sold | 01/18/18 | K | A |  |
| 28. -Merrill Lynch Bank Deposit Program          | A | Interest | O | T |      |          |   |   |  |
| 29. -Eaton Vance Tax Managed ETF                 | A | Dividend | J | T |      |          |   |   |  |
| 30. -Blackstone GSO Strategic (BGB)              | C | Dividend | K | T |      |          |   |   |  |
| 31. 401(k) Account #1(H)                         |   |          |   |   |      |          |   |   |  |
| 32. -Blackrock Ener.& Res Tr (BGR)               | B | Dividend | K | T |      |          |   |   |  |
| 33. -Vanguard Bond Index Fund (BND)              | C | Dividend | M | T |      |          |   |   |  |
| 34. -SPDR BarCap Short-term Corp. Bond (SCPB)    | B | Dividend | L | T |      |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                         |   |          |   |   |             |          |   |   |  |
|---------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. -iShares Barclays 7-10 Treasury Bond Fund (IEF)     | A | Dividend | L | T |             |          |   |   |  |
| 36. -iShares Aaa-A Rated Corp. Bond (QLTA)              | A | Dividend |   |   | Sold        | 12/24/18 | K | A |  |
| 37. -Powershares QQQ Trust, Series 1 (QQQ)              | B | Dividend | M | T |             |          |   |   |  |
| 38. -EGA: Emerging Markets Consumer ETF (ECON)          | A | Dividend | K | T |             |          |   |   |  |
| 39. -Powershares DB Commodity Index Tracking Fund (DBC) |   | None     | K | T |             |          |   |   |  |
| 40. -iShares Gold Trust ETF (IAU)                       | A | Dividend | L | T |             |          |   |   |  |
| 41. -Vanguard MSCI EAFE ETF (VEA)                       | B | Dividend | L | T |             |          |   |   |  |
| 42. -iShares Barclays Tips Bond Fund (TIP)              | A | Dividend | M | T | Buy (add'l) | 02/01/18 | L |   |  |
| 43. -Wisdom Tree Asia Local Debt (ALD)                  | B | Dividend | K | T | Sold (part) | 01/12/18 | K | A |  |
| 44. -Vanguard REIT Index (VNQ)                          | B | Dividend |   |   | Sold        | 01/18/18 | K | A |  |
| 45. -Schwab Sweep Account                               | A | Interest | N | T |             |          |   |   |  |
| 46. -iShares MSCI United K. (EWU)                       | B | Dividend |   |   | Sold        | 12/24/18 | K | A |  |
| 47. -SPDR S&P 500 (SPY)                                 | A | Dividend | M | T | Buy         | 12/28/18 | M |   |  |
| 48. -Vanguard Int. Equity ETF (VNI)                     | C | Dividend | K | T |             |          |   |   |  |
| 49. -Wisdom Tree Japan (DXJ)                            | C | Dividend |   |   | Sold        | 01/12/18 | L | E |  |
| 50. -BlackstoneGSO Strategic Credit (BGB)               | E | Dividend | N | T | Buy (add'l) | 02/06/18 | L |   |  |
| 51.                                                     |   |          |   |   | Buy (add'l) | 02/07/18 | M |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/09/18                | L                               |                                |                                                                   |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/12/18                | J                               |                                |                                                                   |
| 54. -Schwab Value Advantage (SNAXX)                                                                                         | A                                       | Interest                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/18                | M                               |                                |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/06/18                | M                               | A                              |                                                                   |
| 56.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 02/09/18                | O                               | A                              |                                                                   |
| 57. -Apollo Senior Floating Rate (AFT)                                                                                      | E                                       | Dividend                                      | N                                               | T                                         | Buy                                             | 07/16/18                | N                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/16/18                | K                               |                                |                                                                   |
| 59. -Blackstone GSO (BGX)                                                                                                   | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 12/28/18                | L                               |                                |                                                                   |
| 60. Brokerage Account #2 (H)                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. -Morgan Stanley Bank N.A.                                                                                               | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. -iShares N. America Tech ETF (IGM)                                                                                      | A                                       | Dividend                                      | L                                               | T                                         | Sold<br>(part)                                  | 08/07/18                | K                               | D                              |                                                                   |
| 63. -iShares NASDAQ Biotech ETF (IBB)                                                                                       | A                                       | Dividend                                      | M                                               | T                                         | Sold<br>(part)                                  | 12/21/18                | K                               | D                              |                                                                   |
| 64. -iShares US Consumer Goods ETF (IYK)                                                                                    | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/02/18                | M                               | E                              |                                                                   |
| 65. -iShares S&P US PFD (PFF)                                                                                               | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 11/28/18                | K                               | A                              |                                                                   |
| 66. -iShares US Aerospace (ITA)                                                                                             | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. -iShares US Med Devices (IHI)                                                                                           | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. -iShares US Pharma ETF (IHE)                                                                                            | B                                       | Dividend                                      | M                                               | T                                         | Sold<br>(part)                                  | 12/21/18                | K                               | D                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

Date of Report

05/14/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                         |   |          |   |   |                |          |   |   |  |
|---------------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 69. -iShares US Tech ETF (IYW)                          | A | Dividend | M | T | Sold<br>(part) | 09/07/18 | K | E |  |
| 70. -iShares US Telecomm ETF (IYZ)                      | B | Dividend | L | T | Sold<br>(part) | 12/21/18 | K | A |  |
| 71. -Clearbridge Aggressive Growth (SAGYX)              | A | Dividend | L | T |                |          |   |   |  |
| 72. -Ishares US Fin ETF (IYF)                           | A | Dividend | M | T |                |          |   |   |  |
| 73. -Ishares US Industrial ETF (IYJ)                    | A | Dividend | M | T |                |          |   |   |  |
| 74. -Ishares Russell 2000 ETF (IWM)                     | A | Dividend |   |   | Sold           | 12/21/18 | K | A |  |
| 75. -ME EDL LN AUTH Stud LN REV                         | A | Dividend |   |   | Redeemed       | 08/01/18 | J |   |  |
| 76. -ME HLTH & High EDL FACS AUTH<br>REV SER-C          | A | Dividend | J | T |                |          |   |   |  |
| 77. -ME State HSNB Auth MTG Ser. B-1                    | B | Dividend | J | T |                |          |   |   |  |
| 78. -ME State HSNB Auth MTG SER-C<br>(Matures 11/15/23) | A | Dividend | J | T |                |          |   |   |  |
| 79. -ME State HSNB Auth MTG SER-C<br>(Matures 11/15/27) | A | Dividend | K | T |                |          |   |   |  |
| 80. -York TownME Gen OBLIG                              | A | Dividend | J | T |                |          |   |   |  |
| 81. -Lewiston ME PUB IMPT-A                             | A | Dividend | K | T |                |          |   |   |  |
| 82. -Ft. NASDAQ Cyber (CIBR)                            | A | Dividend | L | T |                |          |   |   |  |
| 83. -Maine State HSG AUTH MTG PUR REV<br>A              | A | Dividend | K | T | Buy            | 06/05/18 | J |   |  |
| 84.                                                     |   |          |   |   | Buy<br>(add'l) | 08/14/18 | K |   |  |
| 85. -Maine State HSG AUTH MTG PUR                       | A | Dividend | K | T | Buy            | 06/19/18 | K |   |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

Date of Report

05/14/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. -Maine Health Higher EDL FACS AUTH REV                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/24/18                | K                               |                                |                                                                   |
| 87. -MSTF Ultra-short Income (MULSX)                                                                                        | B                                       | Dividend                                      | O                                               | T                                         | Buy                                             | 02/22/18                | L                               |                                |                                                                   |
| 88.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/24/18                | L                               |                                |                                                                   |
| 89.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/07/18                | M                               |                                |                                                                   |
| 90.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/21/18                | M                               |                                |                                                                   |
| 91. Pierce Atwood Capital Contribution Notes                                                                                | D                                       | Interest                                      | L                                               | U                                         | Matured<br>(part)                               | 03/15/18                | L                               | A                              |                                                                   |
| 92. Key Bank IRA (CD)                                                                                                       | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. Bank of America Deposit Account                                                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. Inherited IRA (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 95. -iShares N AMER. TECH ETF (IGM)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 08/07/18                | J                               | A                              |                                                                   |
| 96. iShares US HealthCARE ETF ((IYH)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 97. -iShares US ENERGY ETF (IYE)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. -iShares US FINANCIALS ETF (IYF)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. -iShares US INDUS ETF (IYJ)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 100. -iShares US MED DEVICES (IHI)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 101. -iShares US TECH ETF ((IYW)                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 09/07/18                | J                               | A                              |                                                                   |
| 102. -POWERSHARES WATER RES PTF (PHO)                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Kayatta, William J.

Date of Report

05/14/2019

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. -CLEARBRIDGE Agg Gr I (SAGYX)                                                                                          | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. -US Aerospace & Def ETF (ITA)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105. -iShares Russell 2000 ETF (IWM)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. -Ft NASDAQ CYBER (CIBR)                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. -S&P Index 5000 (IW)                                                                                                   | A                                       | Dividend                                      | J                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 108. -SPDR PORTF Short Term (SPSB)                                                                                          | A                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 09/07/18                | K                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/18/18                | K                               | A                              |                                                                   |
| 110. -Maine State HSG AUTH MTG PUR REV-A                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/21/18                | K                               |                                |                                                                   |
| 111. -Maine State HSG AUTH MTG PUR REV-D                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/21/18                | J                               |                                |                                                                   |
| 112. -Maine State HSg AUTH MTG PUR REV-C                                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 06/19/18                | K                               |                                |                                                                   |
| 113. -Amgen Inc. Bond (2020-05-11)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 05/24/18                | K                               |                                |                                                                   |
| 114. Rollover IRA (H)(X)                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 115. -iShares TIPS Bonds                                                                                                    | D                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/27/18                | O                               | A                              |                                                                   |
| 116. -Invesco QQQ (QQQ)                                                                                                     | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 12/27/18                | L                               |                                |                                                                   |
| 117. -SPDR S&P 500 ETF (SPY)                                                                                                | A                                       | Dividend                                      | M                                               | T                                         | Buy                                             | 12/27/18                | M                               |                                |                                                                   |
| 118. -Charles Schwab Bank Cash Account                                                                                      | A                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 119. Brokerage Account #3 (H)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. -Charles Schwabb Bank Cash Account                                                                                     | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

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05/14/2019

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

Re: Positions: I ended my tenure on the University of Maine Law School Board of Visitors in December of 2017.

Re:Investments; and Trusts: Brokerage Account #3 was funded with cash moved from Brokerage Account #1 and subsequent earned income  
Dashes have been added to lines 53, 80, and 81 to make clear that those assets are held in the pertinent aggregate account.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

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