

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/11/2015
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 01/01/2014 to 12/31/2014
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 #1
2.	Co-Trustee	Trust #2
3.	Member	University of Maine School of Law Board of Visitors
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	Duke University (Pay for teaching Appellate Advocacy Seminar)	\$4,500.00
2. 2014	Pierce Atwood LLP buyout payments under Withdrawal Agreement	\$87,633.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Advocates Society of Canada	05-01-14 to 05-04-14	Toronto, Canada	Speaker at Meeting	Transportation, meals, hotel
2. Duke University	11-16-14 to 11-18-14	Durham, N.C.	Teaching Seminar	Transportation lodging and meals
3. R.I. Federal Bar Assoc.	11-04-14	Providence, R.I.	Speaker at Meeting	Transportation and meal
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) 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	K	T					
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	J	T					
11. -Fidelity Advisors New Insights Fund (FNICX)	E	Dividend	M	T	Donated (part)				
12. -Health CARE Select SPDR (XLV)	A	Dividend	K	T					
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 = \$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	
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	J	T					
19. -Sector SPDR Consumers STPL (XLP)	A	Dividend	J	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	J	T					
27. -Vanguard Short Term Bond (BSV)	A	Dividend	J	T					
28. -Vanguard Telecommunications SRVCS ETF (VOX)	A	Dividend	J	T					
29. -FIA Card SVS NA RASP	A	Int./Div.			Sold	12/31/14	J	A	
30. -Elements-Rogers Tr	A	Interest	K	T					
31. -Merrill Lynch Bank Deposit Program	A	Interest	N	T					
32. -BIF Money Fund	A	Interest	K	T					
33. -Blackrock Energy & Resources (BGR)	D	Dividend	L	T					
34.					Sold (part)	07/10/14	K	A	

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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.					Sold (part)	07/15/14	K	A	
36. -Henderson Global Equity (HFQAX)	A	Dividend	K	T					
37. -SPDR S&P 500 ETF (SPY)	B	Dividend	M	T					
38. -Eaton Vance Tax Managed ETF	A	Dividend	K	T	Buy	09/18/14	K		
39. 401(k) Account #1(H)									
40. -Blackrock Ener.& Res Tr (BGR)	B	Dividend	K	T	Buy	09/29/14	K		
41. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
42. -SPDR BarCap Short-term Corp. Bond (SCPB)	B	Dividend	L	T					
43. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					
44. -iShares Aaa-A Rated Corp. Bond (QLTA)	A	Dividend	K	T					
45. -Vanguard Total Stock Market Index (VTI)	B	Dividend	L	T					
46. -Vanguard Dividend Appreciation (VIG)	C	Dividend	M	T					
47. -Powershares S&P ETF (SPLV)	B	Dividend	L	T					
48. -Powershares QQQ Trust, Series 1 (QQQ)	B	Dividend	M	T					
49. -iShares Russell 2000 Index (IWM)	B	Dividend	M	T					
50. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend	K	T					
51. -Powershares DB Commodity Index Tracking Fund (DBC)		None	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -iShares Gold Trust ETF (IAU)	A	Dividend	L	T					
53. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend	L	T					
54. -Vanguard MSCI Emerging Markets Index (VWO)	A	Dividend	K	T					
55. -iShares MSCI Germany Index (EWG)	D	Dividend	M	T					
56. -iShares Barclays Tips Bond Fund (TIP)	A	Dividend	L	T					
57. -Wisdom Tree Asia Local Debt (ALD)	B	Dividend	L	T					
58. -Vanguard REIT Index (VNQ)	B	Dividend	K	T					
59. -Schwab Sweep Account	A	Interest	L	T					
60. -iShares MSCI United K. (EWU)	B	Dividend	L	T					
61. -SPDR S&P 500 (SPY)	C	Dividend	M	T					
62. -Vanguard Int. Equity ETF	C	Dividend	K	T					
63. -Wisdom Tree Japan (DXJ)	C	Dividend	L	T					
64. -Wisdom Tree Trust (BZF)		None	L	T					
65. -Pimco ETF (HYS)	C	Dividend	L	T					
66. Brokerage Account #2 (H)									
67. -Citibank NA Account (X)	A	Interest	K	T					
68. -Global X. Norway ETF (NORW)	A	Dividend	K	T	Buy (add'l)	12/24/14	J		

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69. -iShares N. America Tech ETF (IGM)	A	Dividend	L	T	Buy (add'l)	05/15/14	K		
70.					Buy (add'l)	12/24/14	J		
71. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T	Sold (part)	09/03/14	K	D	
72. -iShares US Consumer Goods ETF (IYK)	A	Dividend	K	T					
73. -iShares US Energy ETF (IYE)	A	Dividend	L	T	Buy (add'l)	12/24/14	J		
74. -iShares US Oil Equip. & SER ETF (IEZ)	A	Dividend			Sold	12/24/14	K	A	
75. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
76. -iShares US Tech ETF (IYW)	A	Dividend	L	T					
77. -iShares US Telecomm ETF (IYZ)	B	Dividend	L	T					
78. -Powershares Water Res ETF (PHO)	A	Dividend	K	T	Buy (add'l)	05/15/14	K		
79.					Buy (add'l)	09/03/14	J		
80.					Buy (add'l)	12/24/14	J		
81. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	L	T	Buy (add'l)	12/10/14	J		
82. -iShares US Fin ETF (IYF)	A	Dividend	L	T	Buy	08/14/14	K		
83.					Buy (add'l)	09/03/14	J		
84.					Buy (add'l)	12/24/14	J		
85. Pierce Atwood Capital Contribution Notes	E	Interest	N	U	Matured (part)	03/01/14	L	A	

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86. Key Bank IRA (CD)	A	Interest	J	T					
87. Bank of America Deposit Account	A	Interest	J	T					
88. Trust #1 (H)									
89. -Fidelity Growth Company	A	Dividend			Sold	05/14/14	K	D	
90. Trust # 2 (H)									
91. -Powershares Water Res (PHO)	A	Dividend	K	T	Buy (add'l)	01/06/14	J		
92.					Buy (add'l)	08/28/14	J		
93. -Maine Hlth & Higher EDL FACS AUTH REV SER-A	A	Interest	J	T					
94. -Maine EDL LN AUTH STUDENT LN REV	A	Interest	K	T					
95. -Global X Norway ETF (NORW)	A	Dividend			Sold	12/24/14	K	A	
96. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T	Sold (part)	04/29/14	K	D	
97.					Sold (part)	09/03/14	K	D	
98. -iShares US Consumer Goods ETF (IYK)	B	Dividend	L	T					
99. -iShares US Energy ETF (IYE)	A	Dividend	K	T					
100. -iShares US Financials ETF (IYF)	A	Dividend	K	T					
101. -iShares Industrials ETF (IYJ)	A	Dividend	K	T					
102. -iShares US Medical Devices ETF (IHI)	A	Dividend	K	T					

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103. -iShares US Oil & Equip & SER ETF (IEZ)	A	Dividend			Buy (add'l)	01/09/14	J		
104.					Sold	12/24/14	K	A	
105. -iShares US Pharm (IHE)	A	Dividend	L	T					
106. -iShares US Tech ETF (IYW)	A	Dividend	K	T					
107. -iShares US Telecom ETF (IYZ)	B	Dividend	L	T					
108. -Morgan Stanley Liquid Asset Fund	A	Interest	K	T					
109. -iShares US Oil & Gas Exp. Prod (IEO)		None	K	T	Buy	12/24/14	K		
110. -iShares N. Amer. Tech (IGM)	A	Dividend	K	T	Buy	01/06/14	K		

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

Date of Report

05/11/2015

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

Date of Report

05/11/2015

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