

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
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. 2015	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 College Law School	04/22/15	Newton, Ma	Moot Court for Students	Transportation
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	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	
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18. -Materials Select Sector SPDR Fund (XLB)	A	Dividend	J	T					
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	J	T					
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	Sold (part)	04/28/15	L	A	
33. -Henderson Global Equity (HFQAX)	A	Dividend	K	T					
34. -SPDR S&P 500 ETF (SPY)	B	Dividend	M	T	Buy (add'l)	08/24/15	K		

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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.					Buy (add'l)	08/25/15	K		
36. -Eaton Vance Tax Managed ETF	A	Dividend	K	T					
37. -Blackstone GSO Strategic (BGB)	C	Dividend	K	T	Buy	04/28/15	L		
38. 401(k) Account #1(H)									
39. -Blackrock Ener.& Res Tr (BGR)	B	Dividend	K	T					
40. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
41. -SPDR BarCap Short-term Corp. Bond (SCP)	B	Dividend	L	T					
42. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					
43. -iShares Aaa-A Rated Corp. Bond (QLTA)	A	Dividend	K	T					
44. -Vanguard Total Stock Market Index (VTI)	B	Dividend	L	T					
45. -Vanguard Dividend Appreciation (VIG)	C	Dividend	M	T					
46. -Powershares S&P ETF (SPLV)	B	Dividend	L	T					
47. -Powershares QQQ Trust, Series 1 (QQQ)	B	Dividend	M	T					
48. -iShares Russell 2000 Index (IWM)	B	Dividend	M	T					
49. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend	K	T					
50. -Powershares DB Commodity Index Tracking Fund (DBC)		None	L	T					
51. -iShares Gold Trust ETF (IAU)	A	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend	L	T					
53. -Vanguard MSCI Emerging Markets Index (VWO)	A	Dividend	K	T					
54. -iShares MSCI Germany Index (EWG)	D	Dividend	M	T					
55. -iShares Barclays Tips Bond Fund (TIP)	A	Dividend	L	T					
56. -Wisdon Tree Asia Local Debt (ALD)	B	Dividend	K	T					
57. -Vanguard REIT Index (VNQ)	B	Dividend	K	T					
58. -Schwab Sweep Account	A	Interest	L	T					
59. - iShares MSCI United K. (EWU)	B	Dividend	L	T					
60. -SPDR S&P 500 (SPY)	C	Dividend	M	T	Buy (add'l)	09/01/15	K		
61. -Vanguard Int. Equity ETF (VNQI)	C	Dividend	K	T					
62. -Wisdom Tree Japan (DXJ)	C	Dividend	M	T					
63. -Wisdom Tree Trust (BZF)		None	K	T					
64. -Pimco ETF (HYS)	C	Dividend	L	T					
65. -Blackstone?GSO Strategic Credit (BGB)	C	Dividend	L	T	Buy	04/28/15	L		
66. Brokerage Account #2 (H)									
67. -Citibank NA Account (X)	A	Interest			Closed	01/05/15	K		
68. -Morgan Stanley Bank N.A.	A	Interest	L	T	Open	01/05/15	K		

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69. -Global X. Norway ETF (NORW)	A	Dividend			Sold	02/02/15	K	D	
70. -iShares N. America Tech ETF (IGM)	A	Dividend	L	T					
71. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T	Sold (part)	10/20/15	J		
72. -iShares US Consumer Goods ETF (IYK)	A	Dividend	K	T					
73. -iShares US Energy ETF (IYE)	A	Dividend	L	T	Sold	02/05/15	L	A	
74.					Buy	04/20/15	K		
75.					Buy (add'l)	06/25/15	J		
76.					Buy (add'l)	08/14/15	J		
77. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
78. -iShares US Tech ETF (IYW)	A	Dividend	L	T					
79. -iShares US Telecomm ETF (IYZ)	B	Dividend	L	T					
80. -Powershares Water Res ETF (PHO)	A	Dividend	K	T	Buy (add'l)	10/15/15	J		
81. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	L	T					
82. -iShares US Fin ETF (IYF)	A	Dividend	L	T					
83. -iShares US Industrial ETF (IYJ)	A	Dividend	K	T	Buy	02/02/15	K		
84. -iShares Russell 2000 ETF (IWM)	A	Dividend	K	T	Buy	02/02/15	K		
85. Pierce Atwood Capital Contribution Notes	E	Interest	N	U	Matured (part)	03/01/15	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 # 2 (H)									
89. -Powershares Water Res (PHO)	A	Dividend	K	T	Buy (add'l)	02/02/15	J		
90. -Maine Hlth & Higher EDL FACS AUTH REV SER-A	A	Interest			Redeemed	07/01/15	J	A	
91. -Maine EDL LN AUTH STUDENT LN REV	A	Interest	K	T					
92. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T					
93. -iShares US Consumer Goods ETF (IYK)	B	Dividend	L	T					
94. -iShares US Energy ETF (IYE)	A	Dividend	K	T	Sold	02/02/15	L	A	
95.					Buy	04/15/15	K		
96.					Buy (add'l)	08/14/15	J		
97. -iShares US Financials ETF (IYF)	A	Dividend	K	T	Buy (add'l)	02/02/15	J		
98. -iShares Industrials ETF (IYJ)	A	Dividend	K	T					
99. -iShares US Medical Devices ETF (IHI)	A	Dividend	K	T	Buy (add'l)	08/14/15	J		
100. -iShares US Pharm (IHE)	A	Dividend	L	T					
101. -iShares US Tech ETF (IYW)	A	Dividend	K	T					
102. -iShares US Telecom ETF (IYZ)	B	Dividend	L	T					

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103. -Morgan Stanley Liquid Asset Fund	A	Interest	K	T					
104. -Ishares US Oil & Gas Exp. Prod (IEO)		None			Sold	02/02/15	K	C	
105. -Ishares N. Amer. Tech (IGM)	A	Dividend	K	T					
106. -Ishares S&P US PFD Stk Ind (PFF)	A	Dividend	K	T	Buy	12/15/15	K		
107. -Ishares Russell 2000 ETF (IWM)	A	Dividend	K	T	Buy	02/02/15	K		
108. Estate (H)(X)									
109. -Morgan Stanley Bank N.A.(X)	A	Interest	M	T					
110. -Ishares NASDAQ Biotech ETF (IBB)(X)	A	Dividend	L	T					
111. -Ishares US Consumer Goods ETF (IYK) (X)	B	Dividend	L	T					
112. -Ishares US Financials ETF (IYF)(X)	A	Dividend	L	T					
113. -Ishares US Industrials ETF (IYJ)(X)	A	Dividend	L	T					
114. -Ishares US Medical Devices ETF (IHI)(X)	A	Dividend	L	T					
115. -Ishares US Pharmaceuticals ETF (IHE)(X)	A	Dividend	L	T					
116. -Ishares US Technology ETF (IYW)(X)	A	Dividend	L	T					
117. -Ishares US Telecomm ETF (IYZ)(X)	A	Dividend	M	T					
118. -Powershares Water Res PTF (PHO)(X)	A	Dividend	K	T					
119. -Somerset County ME Genl Oblig Jail Bond (X)	A	Interest	J	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 \$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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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. 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. -Miane Health & Higher EDL FACS Auth Re OID Bond (X)	A	Interest	J	T					
121. -Maine EDL LN Auth Student LN REV Bond (X)	A	Interest	K	T					
122. -Maine State HSG Auth MTG Purch REV SER-A Bond (X)	A	Interest	K	T					
123. -Maine HLTH & HGHR EDL FACS REV SER-C Bond (X)	A	Interest	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 \$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	

Name of Person Reporting	Date of Report
Kayatta, William J.	05/13/2016

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

The "Estate" accounted for in Part VII is an estate for which my spouse bacame the exectrutix in 2015 and of which she is a 50% beneficiary.

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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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