

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 08/01/2018
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 01/01/2017 to 12/31/2017
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member	University of Maine Law School Board of Visitors
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 (yours, not spouse's)
1. 2017	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. George Washington University Law School	01/25/2017	Washington, D.C.	Moot Court for Students	Transportation and hotel
2. Amer. Acad. Appellate Lawyers	4/7/2017	Boston, MA	Panel on Appellate Law	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. 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	Sold (part)	10/27/17	J	C	
4. -iShares Russell 2000 Gr. Index (IWO)	A	Dividend	J	T	Donated (part)				
5. -ALPS Alerian MLP ETF (AMLPE)	A	Dividend			Sold	10/27/17	L	A	
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	L	T					
9. -iShares NASDAQ Biotech. Index (IBB)	A	Dividend	K	T					
10. -Consumer Discretionary SPDR (XLY)	A	Dividend	K	T					
11. -Fidelity Advisors New Insights Fund (FNICX)	E	Dividend	M	T					
12. -Health CARE Select SPDR (XLV)	A	Dividend	K	T					
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:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

18. -Materials Select Sector SPDR Fund (XLB)	A	Dividend	K	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	J	T	Sold (part)	10/27/17	L	A	
24. -Vanguard Financial ETF (VFH)	A	Dividend	K	T					
25. -Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend	J	T					
26. -Vanguard Short Term Bond (BSV)	A	Dividend	J	T					
27. -Vanguard Telecommunications SRVCS ETF (VOX)	A	Dividend	J	T					
28. -Elements-Rogers Tr	A	Interest	K	T					
29. -Merrill Lynch Bank Deposit Program	A	Interest	O	T					
30. -BIF Money Fund	A	Interest			Sold	08/22/17	K	A	
31. -Blackrock Energy & Resources (BGR)	D	Dividend			Sold	08/22/17	K	A	
32. -Henderson Global Equity (HFQAX)	A	Dividend			Sold	08/22/17	K	A	
33. -SPDR S&P 500 ETF (SPY)	B	Dividend			Sold	02/01/17	M	E	
34. -Eaton Vance Tax Managed ETF	A	Dividend	K	T					

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

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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)
35. -Blackstone GSO Strategic (BGB)	C	Dividend	L	T					
36. 401(k) Account #1(H)									
37. -Blackrock Ener.& Res Tr (BGR)	B	Dividend	K	T					
38. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
39. -SPDR BarCap Short-term Corp. Bond (SCPB)	B	Dividend	L	T					
40. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					
41. -iShares Aaa-A Rated Corp. Bond (QLTA)	A	Dividend	K	T					
42. -Vanguard Total Stock Market Index (VTI)	B	Dividend			Sold	11/06/17	M	F	
43. -Vanguard Dividend Appreciation (VIG)	C	Dividend			Sold	12/01/17	M	G	
44. -Powershares S&P ETF (SPLV)	B	Dividend			Sold	12/12/17	L	E	
45. -Powershares QQQ Trust, Series 1 (QQQ)	B	Dividend	M	T	Sold (part)	12/12/17	L	E	
46. -iShares Russell 2000 Index (IWM)	A	Dividend			Sold	02/02/17	M	F	
47. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend	K	T					
48. -Powershares DB Commodity Index Tracking Fund (DBC)		None	K	T					
49. -iShares Gold Trust ETF (IAU)	A	Dividend	L	T					
50. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend	L	T					
51. -Vanguard MSCI Emerging Markets Index (VWO)	A	Dividend			Sold	12/12/17	K	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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52. -iShares MSCI Germany Index (EWG)	A	Dividend			Sold	01/18/17	M	A	
53. -iShares Barclays Tips Bond Fund (TIP)	A	Dividend	L	T					
54. -Wisdon Tree Asia Local Debt (ALD)	B	Dividend	K	T					
55. -Vanguard REIT Index (VNQ)	B	Dividend	K	T					
56. -Schwab Sweep Account	A	Interest	N	T					
57. -iShares MSCI United K. (EWU)	B	Dividend	L	T					
58. -SPDR S&P 500 (SPY)	A	Dividend			Sold	01/17/17	M	F	
59. -Vanguard Int. Equity ETF (VNQI)	C	Dividend	K	T					
60. -Wisdom Tree Japan (DXJ)	C	Dividend	L	T	Sold (part)	11/30/17	L	E	
61. -Wisdom Tree Trust (BZF)		None			Sold	12/01/17	L	A	
62. -Pimco ETF (HYS)	C	Dividend			Sold	12/01/17	L	A	
63. -BlackstoneGSO Strategic Credit (BGB)	C	Dividend	L	T					
64. Schwabb Value Advantage (SNAXX)	A	Interest	P1	T	Buy	12/12/17	P1		
65. Brokerage Account #2 (H)									
66. -Morgan Stanley Bank N.A.	A	Interest	M	T					
67. -iShares N. America Tech ETF (IGM)	A	Dividend	M	T					
68. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	N	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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69. -iShares US Consumer Goods ETF (IYK)	A	Dividend	M	T					
70. -iShares US Energy ETF (IYE)	A	Dividend			Sold	08/23/17	L	B	
71. -iShares S&P US PFD (PFF)	A	Dividend	K	T					
72. -iShares US Aerospace (ITA)	A	Dividend	M	T					
73. -iShares US Med Devices (IHI)	A	Dividend	L	T					
74. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
75. -iShares US Tech ETF (IYW)	A	Dividend	M	T					
76. -iShares US Telecomm ETF (IYZ)	B	Dividend	M	T					
77. -Powershares Water Res ETF (PHO)	A	Dividend			Sold	08/23/17	L	B	
78. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	L	T					
79. -Ishares US Fin ETF (IYF)	A	Dividend	M	T					
80. -Ishares US Industrial ETF (IYJ)	A	Dividend	M	T					
81. -Ishares Russell 2000 ETF (IWM)	A	Dividend	L	T	Buy	04/17/17	L		
82. -ME Health & Higher EDL FACS Auth Re OID	A	Dividend			Redeemed	07/03/17	J		
83. -ME EDL LN AUTH Stud LN REV	A	Dividend	J	T					
84. -ME HLTH & High EDL FACS AUTH REV SER-C	A	Dividend	J	T					
85. -ME State HSNG Auth MTG Ser. B-1	B	Dividend	J	T	Buy	08/28/17	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86. -ME State HSNB Auth MTG SER-C (Matures 11/15/23)	A	Dividend	J	T	Buy	12/14/17	J		
87. -ME State HSNB Auth MTG SER-C (Matures 11/15/27)	A	Dividend	K	T	Buy	10/13/17	K		
88. -York TownME Gen OBLIG	A	Dividend	J	T	Buy	12/13/17	J		
89. Lewiston ME PUB IMPT-A	A	Dividend	K	T	Buy	10/17/17	K		
90. Ft. NASDAQ Cyber (CIBR)	A	Dividend	L	T	Buy	06/21/17	L		
91. Pierce Atwood Capital Contribution Notes	E	Interest	M	U	Matured (part)	03/15/17	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	K	T	Sold (part)	11/10/17	K	D	
96. -iShares NASDAQ BIOTECH ETF (IBB)	A	Dividend			Sold	08/23/17	K	D	
97. iShares US HealthCARE ETF (IYH)	A	Dividend	J	T	Sold (part)	11/10/17	J	A	
98. iShares US CONS GOODS ETF (IYK)	A	Dividend	K	T	Sold (part)	11/10/17	J	B	
99. -iShares US ENERGY ETF (IYE)	A	Dividend	K	T	Buy (add'l)	08/02/17	J		
100. -iShares US FINANCIALS ETF (IYF)	A	Dividend	J	T	Sold (part)	11/10/17	J	B	
101. -iShares US INDUS ETF (IYJ)	A	Dividend	J	T	Sold (part)	11/10/17	K	C	
102. -iShares US MED DEVICES (IHI)	A	Dividend	J	T	Sold (part)	11/10/17	J	A	

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103. -iShares US PHARM ETF (IHE)	A	Dividend			Sold	08/23/17	K	D	
104. -iShares US TECH ETF (IYW)	A	Dividend	K	T	Sold (part)	11/10/17	K	D	
105. -iShares US TELECOM ETF (IYZ)	A	Dividend			Sold	11/10/17	K	C	
106. -POWERSHARES WATER RES PTF (PHO)	A	Dividend	J	T					
107. -CLEARBRIDGE Agg Gr I (SAGYX)	A	Dividend	L	T	Sold (part)	11/10/17	K	A	
108. -US Aerospace & Def ETF (ITA)	A	Dividend	J	T	Buy	10/11/17	K		
109.					Sold (part)	10/10/17	J		
110. -iShares Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy	10/11/17	K		
111.					Sold (part)	11/10/17	J	A	
112. -Ft NASDAQ CYBER (CIBR)	A	Dividend	K	T	Buy	08/02/17	J		
113.					Buy (add'l)	10/11/17	J		
114. -S&P Index 5000 (IW)	A	Dividend	J	T	Buy	08/23/17	K		
115.					Sold (part)	11/10/17	K	A	
116. -Seaspan Corp NTS (SSWN)	A	Dividend			Buy	01/10/17	J		
117.					Sold	05/31/17	J	A	
118. -SPDR PORTF Short Term (SPSB)	A	Dividend	M	T	Buy	12/14/17	M		
119. Rollover IRA (H)(X)									

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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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. -iShares TIPS Bonds	D	Dividend	O	T	Buy	01/06/17	L		
121.	A				Buy (add'l)	01/18/17	M		
122.					Buy (add'l)	02/02/17	M		
123.					Buy (add'l)	02/10/17	M		
124. -Charles Schwab Bank Cash Account	A	Interest	J	T					

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

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

Re: Positions: The trust of which I was trustee as noted on prior year's forms terminated.

Re Part VII New Rollover IRA resulted from cash out of Pierce Atwood Pension rights

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Name of Person Reporting

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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
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