

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 06/09/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Pierce Atwood LLP buyout payments under Withdrawal Agreement	\$87,633.00
2. 11/25/19	Duke University; payment for Law School Appellate Advocacy Teaching	\$4,500.00
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. Duke University Law School	11/25/2019	Durham, NC	Appellate Advocacy Instruction	Transportation meal and lodging
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.)

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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			Donated				
4. -iShares Russell 2000 Gr. Index (IWO)	A	Dividend	J	T					
5. -iShares Russell 2000 Index (IWM)	A	Dividend	K	T					
6. -Vanguard Energy ETF (VDE)	A	Dividend			Sold	10/01/19	K	A	
7. -Vanguard Inform. Tech. ETF (VGT)	A	Dividend	L	T	Sold (part)	10/02/19	K	D	
8. -iShares NASDAQ Biotech. Index (IBB)	A	Dividend	K	T					
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			Sold	09/30/19	L	B	
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: (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	
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	(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)
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. -Merrill Lynch Bank Deposit Program	A	Interest	N	T					
28. -Eaton Vance Tax Managed ETF	A	Dividend	K	T					
29. -Blackstone GSO Strategic (BGB)	C	Dividend			Sold	10/01/19	K	A	
30. 401(k) Account #1(H)									
31. -Blackrock Ener.& Res Tr (BGR)	B	Dividend			Sold	12/19/19	K	A	
32. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
33. -SPDR BarCap Short-term Corp. Bond (SPSB)	B	Dividend	K	T	Sold (part)	12/20/19	L	A	
34. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					

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35. -Powershares QQQ Trust, Series 1 (QQQ)	B	Dividend			Sold	10/21/19	M	G	
36. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend	K	T					
37. -Powershares DB Commodity Index Tracking Fund (DBC)		None	K	T					
38. -iShares Gold Trust ETF (IAU)	A	Dividend	L	T					
39. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend	L	T					
40. -iShares Barclays Tips Bond Fund ((TIP)	A	Dividend	M	T					
41. -Wisdon Tree Asia Local Debt (ALD)	B	Dividend			Sold	03/25/19	K	A	
42. -Schwab Sweep Account	A	Interest	N	T					
43. -SPDR S&P 500 (SPY)	A	Dividend			Sold	02/01/19	N	F	
44. -Vanguard Int. Equity ETF (VNQI)	C	Dividend			Sold	10/21/19	K	C	
45. -BlackstoneGSO Strategic Credit (BGB)	E	Dividend	N	T	Sold (part)	12/05/19	K	A	
46.					Sold (part)	12/09/19	K	A	
47.					Sold (part)	12/10/19	K	A	
48.					Sold (part)	12/26/19	J	A	
49. -Schwab Value Advantage (SNAXX)	A	Interest	P1		Buy	10/28/19	P1		
50.					Buy (add'l)	12/26/19	M		
51. -Apollo Senior Floating Rate (AFT)	E	Dividend	M	T	Sold (part)	02/01/19	M	A	

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52.					Sold (part)	11/05/19	K	A	
53.					Sold (part)	12/10/19	K	A	
54.					Sold (part)	12/17/19	K	A	
55. -Blackstone GSO (BGX)	A	Dividend	L	T	Sold (part)	12/27/19	K	A	
56. Brokerage Account #2 (H)									
57. -Morgan Stanley Bank N.A.	B	Interest	O	T					
58. -iShares N. America Tech ETF (IGM)	A	Dividend	M	T					
59. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T					
60. -iShares S&P US PFD (PFF)	A	Dividend			Sold	01/02/19	K	B	
61. -iShares US Aerospace (ITA)	A	Dividend	M	T					
62. -iShares US Med Devices (IHI)	A	Dividend	M	T					
63. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
64. -iShares US Tech ETF (IYW)	A	Dividend	M	T	Sold (part)	10/02/19	K	C	
65. -iShares US Telecomm ETF (IYZ)	B	Dividend	M	T					
66. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	M	T					
67. -iShares US Fin ETF (IYF)	A	Dividend	M	T	Buy (add'l)	04/24/19	L		
68.					Sold (part)	10/02/19	L	C	

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69. -Ishares US Industrial ETF (IYJ)	A	Dividend	M	T					
70. -Exxonmobil	A	Dividend			Buy	02/01/19	J		
71.					Sold	02/25/19	J	A	
72. -Ishares US Energy ETF	A	Dividend			Buy	04/26/19	L		
73.					Sold	10/04/19	L	A	
74. -Vanguard Real Estate (VNQ)	A	Dividend	L	T	Buy	02/20/19	K		
75.					Buy (add'l)	04/24/19	K		
76. -ME HLTH & High EDL FACS AUTH REV SER-C	A	Dividend	J	T					
77. -ME State HSNG Auth MTG Ser. B-1	B	Dividend	J	T					
78. -ME State HSNG Auth MTG SER-C (Matures 11/15/23)	A	Dividend	J	T					
79. -ME State HSNG Auth MTG SER-C (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 A	A	Dividend	K	T					
84. -Regional Sch. Unit 21` ME	A	Dividend	K	T	Buy	01/15/19	K		
85. -Maine State HSG AUTH MTG PUR	A	Dividend	K	T					

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86. -Maine Health Higher EDL FACS AUTH REV	A	Dividend	K	T					
87. -MSTF Ultra-short Income (MULSX)	B	Dividend			Sold (part)	04/24/19	L	B	
88.					Sold	12/16/19	N	B	
89. Pierce Atwood Capital Contribution Notes	D	Interest	K	U	Matured (part)	03/15/19	L	A	
90. Key Bank IRA (CD)	A	Interest	J	T					
91. Bank of America Deposit Account	A	Interest	J	T					
92. Inherited IRA (H)									
93. -iShares N AMER. TECH ETF IGM)	A	Dividend	K	T					
94. iShares US HealthCARE ETF ((IYH)	A	Dividend	K	T					
95. -iShares US ENERGY ETF (IYE)	A	Dividend			Sold	02/27/19	J	A	
96. -iShares US FINANCIALS ETF (IYF)	A	Dividend	K	T					
97. -iShares US INDUS ETF (IYJ)	A	Dividend	K	T					
98. -iShares US MED DEVICES (IHI)	A	Dividend	K	T					
99. -iShares US TECH ETF ((IYW)	A	Dividend	K	T					
100. -POWERSHARES WATER RES PTF (PHO)	A	Dividend	K	T					
101. -CLEARBRIDGE Agg Gr I (SAGYX)	A	Dividend	L	T					
102. -US Aerospace & Def ETF (ITA)	A	Dividend	K	T					

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103. -iShares Russell 2000 ETF (IWM)	A	Dividend	K	T					
104. -Ft NASDAQ CYBER (CIBR)	A	Dividend	K	T					
105. -S&P Index 5000 (IW)	A	Dividend	K	T					
106. -Ishares Real Estate ETF ((VNO)	A	Dividend	J	T	Buy	02/25/19	J		
107. -SPDR PORTF Short Term (SPSB)	A	Dividend	M	T					
108. -Maine State HSG AUTH MTG PUR REV-A	A	Dividend			Redeemed	11/15/19	K	A	
109. -Maine State HSG AUTH MTG PUR REV-D	A	Dividend	J	T					
110. -Maine State HSg AUTH MTG PUR REV-C	A	Dividend	K	T					
111. -Amgen Inc. Bond (2020-05-11)	A	Dividend	K	T					
112. Rollover IRA (H)(X)									
113. -Kraft Heinz (KHC)	A	Dividend	L	T	Buy	05/27/19	L		
114. -Invesco QQQ (QQQ)	A	Dividend	M	T					
115. -SPDR S&P 500 ETF (SPY)	A	Dividend	M	T	Sold (part)	12/27/19	L	E	
116. -Charles Schwab Bank Cash Account	A	Interest	N	T					
117. Brokerage Account #3 (H)									
118. -Charles Schwabb Bank Cash Account	A	Interest	N	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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Kayatta, William J.

Date of Report

06/09/2021

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

I file this amended return because in doing my report for 2020 it became apparent that I had somehow saved and filed a draft of my 2019 annual report last year rather than the final version which I had kept in hard copy.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Kayatta, William J.

Date of Report

06/09/2021

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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One Columbus Circle, N.E.
Washington, D.C. 20544