

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 08/06/2021
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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. Moot court Judge/teacher	Duke University Law School
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. 2020	Pierce Atwood LLP buyout payments under Withdrawal Agreement	\$87,633.00
2. 11/25/20	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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Kayatta, William J.	08/06/2021

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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Name of Person Reporting

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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 2000 Gr. Index (IWO)	A	Dividend	J	T					
4. -iShares Russell 2000 Index (IWM)	A	Dividend	K	T					
5. -Vanguard Inform. Tech. ETF (VGT)	A	Dividend	K	T	Sold (part)	03/12/20	K	E	
6. -iShares NASDAQ Biotech. Index (IBB)	A	Dividend	K	T					
7. -Consumer Discretionary SPDR (XLY)	A	Dividend			Sold	03/02/20	K	D	
8. -Fidelity Advisors New Insights Fund (FNICX)	E	Dividend	M	T					
9. -Health Care Select SPDR (XLV)	A	Dividend			Sold	03/02/20	K	D	
10. -Ivy Asset Strategy Fund (WASCX)	A	Dividend	K	T					
11. -iShares Barclays MBS Bon Fund (MBB)	A	Dividend	K	T					
12. -iShares IBOXX \$ Invt Gr. Corp. Bd. Fund (LQD)	A	Dividend	J	T					
13. -iShares MSCI EAFE Index Fund (EFA)	A	Dividend			Sold	03/02/20	K	D	
14. -Materials Select Sector SPDR Fund (XLB)	A	Dividend			Sold	03/02/20	J	A	
15. -Sector SPDR Consumers STPL (XLP)	A	Dividend			Sold	03/02/20	K	D	
16. -Sector SPDR Energy (XLE)	A	Dividend			Sold	03/02/20	K	A	
17. -Sector SPDR Industrial (XLI)	A	Dividend			Sold	03/02/20	K	D	

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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18. -Sector SPDR Utilities ((XLU)	A	Dividend			Sold	03/02/20	J	C	
19. -SPDR Barclays High Yield Bond ETF (JNK)	C	Dividend	J	T					
20. -Vanguard Financial ETF (VFH)	A	Dividend			Sold	03/02/20	K	D	
21. -Vanguard Intermediate Term Bond ETF (BIV)	A	Dividend	J	T					
22. -Vanguard Short Term Bond (BSV)	A	Dividend	J	T					
23. -Vanguard Telecommunications SRVCS ETF (VOX)	A	Dividend			Sold	03/02/20	K	D	
24. -Merrill Lynch Bank Deposit Program	A	Interest	O	T					
25. -Eaton Vance Tax Managed ETF	A	Dividend	K	T					
26. 401(k) Account #1(H)									
27. -Vanguard Bond Index Fund (BND)	C	Dividend	M	T					
28. -SPDR BarCap Short-term Corp. Bond (SPSB)	B	Dividend			Sold	07/07/20	K	A	
29. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	L	T					
30. -EGA: Emerging Markets Consumer ETF (ECON)	A	Dividend			Sold	01/24/20	K	C	
31. -Powershares DB Commodity Index Tracking Fund (DBC)	A	Dividend			Sold	07/07/20	K	C	
32. -iShares Gold Trust ETF (IAU)	A	Dividend	L	T					
33. -Vanguard MSCI EAFE ETF (VEA)	B	Dividend			Sold	01/16/20	L	D	
34. -iShares Barclays Tips Bond Fund ((TIP)	A	Dividend	M	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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35. -KraftHeinze (KHC)	B	Dividend			Buy	03/09/20	L		
36.					Sold	11/23/20	M	E	
37. -Schwab Sweep Account	A	Interest	N	T					
38. -BlackstoneGSO Strategic Credit (BGB)	E	Dividend	N	T	Sold (part)	01/24/20	L	C	
39.					Sold (part)	03/17/20	M	A	
40.					Buy (add'l)	06/12/20	N		
41. -Schwab Value Advantage (SNAXX)	A	Interest	P1	T	Buy (add'l)	01/16/20	L		
42.					Sold (part)	03/13/20	M		
43. -Apollo Senior Floating Rate (AFT)	E	Dividend	M	T	Sold (part)	03/17/20	L	A	
44.					Buy (add'l)	10/30/20	L		
45. -Blackstone GSO (BGX)	D	Dividend	O	T	Buy (add'l)	09/23/20	M		
46.					Buy (add'l)	10/28/20	M		
47. Brokerage Account #2 (H)									
48. -Morgan Stanley Bank N.A.	B	Interest	O	T					
49. -iShares N. America Tech ETF (IGM)	A	Dividend	M	T					
50. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	N	T					
51. -iShares US Aerospace (ITA)	A	Dividend	M	T					

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52. -iShares US Med Devices (IHI)	A	Dividend	M	T					
53. -iShares US Pharma ETF (IHE)	B	Dividend	M	T					
54. -iShares US Tech ETF (IYW)	A	Dividend	N	T					
55. -iShares US Telecomm ETF (IYZ)	B	Dividend	M	T					
56. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	M	T					
57. -iShares US Fin ETF (IYF)	A	Dividend	M	T					
58. -iShares US Industrial ETF (IYJ)	A	Dividend	M	T					
59. -Vanguard Real Estate (VNQ)	A	Dividend	L	T					
60. -ME HLTH & High EDL FACS AUTH REV SER-C	A	Dividend	J	T					
61. -ME State HSNG Auth MTG Ser. B-1	B	Dividend	J	T					
62. -ME State HSNG Auth MTG SER-C (Matures 11/15/23)	A	Dividend	J	T					
63. -ME State HSNG Auth MTG SER-C (Matures 11/15/27)	A	Dividend	K	T					
64. -York TownME Gen OBLIG	A	Dividend	J	T					
65. -Lewiston ME PUB IMPT-A	A	Dividend	K	T					
66. -Ft. NASDAQ Cyber (CIBR)	A	Dividend	L	T					
67. -Maine State HSG AUTH MTG PUR REV A	A	Dividend			Redeemed	05/06/20	K		
68. -Regional Sch. Unit 21` ME	A	Dividend	K	T					

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69. -Maine State HSG AUTH MTG PUR	A	Dividend	K	T					
70. -Maine Health Higher EDL FACS AUTH REV	A	Dividend	K	T					
71. -MSTF Ultra-short Income (MULSX)	B	Dividend	L	T	Buy	01/14/20	L		
72.					Sold (part)	01/22/20	O	A	
73. Pierce Atwood Capital Contribution Notes	D	Interest			Matured	03/15/20	L	A	
74. Key Bank IRA (CD)	A	Interest	J	T					
75. Bank of America Deposit Account	A	Interest	J	T					
76. Inherited IRA (H)									
77. -iShares N AMER. TECH ETF IGM)	A	Dividend			Sold	03/02/20	K	C	
78. iShares US HealthCARE ETF ((IYH)	A	Dividend			Sold	03/02/20	J	B	
79. -iShares US FINANCIALS ETF (IYF)	A	Dividend			Sold	03/02/20	K	C	
80. -iShares US INDUS ETF (IYJ)	A	Dividend			Sold	03/02/20	K	B	
81. -iShares US MED DEVICES (IHI)	A	Dividend			Sold	03/02/20	K	C	
82. -iShares US TECH ETF (IYW)	A	Dividend			Sold	03/02/20	K	C	
83. -POWERSHARES WATER RES PTF (PHO)	A	Dividend			Sold	03/02/20	K	C	
84. -CLEARBRIDGE Agg Gr I (SAGYX)	A	Dividend			Sold	03/04/20	K	C	
85. -US Aerospace & Def ETF (ITA)	A	Dividend			Sold	03/02/20	K	B	

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86. -iShares Russell 2000 ETF (IWM)	A	Dividend			Sold	03/02/20	J	C	
87. -Ft NASDAQ CYBER (CIBR)	A	Dividend			Sold	03/02/20	K	C	
88. -S&P Index 5000 (IW)	A	Dividend			Sold	03/02/20	K	C	
89. -Ishares Real Estate ETF ((VNQ)	A	Dividend			Sold	03/02/20	K	B	
90. -SPDR PORTF Short Term (SPSB)	C	Dividend	M	T	Buy (add'l)	03/04/20	M		
91. -Maine State HSG AUTH MTG PUR REV-D	A	Dividend	J	T					
92. -Maine State HSg AUTH MTG PUR REV-C	A	Dividend			Redeemed	09/28/20	K	A	
93. -Amgen Inc. Bond (2020-05-11)	A	Dividend			Redeemed	05/11/20	K	A	
94. -Boeing Bond	A	Dividend	K	T	Buy	08/06/20	K		
95. Rollover IRA (H)									
96. -Kraft Heinz (KHC)	A	Dividend			Sold	01/16/20	L	A	
97. -Invesco QQQ (QQQ)	A	Dividend			Sold	01/27/20	M	C	
98. -SPDR S&P 500 ETF (SPY)	A	Dividend			Sold	01/27/20	M	D	
99. -Charles Schwab Bank Cash Account	A	Interest	O	T					
100. Brokerage Account #3 (H)									
101. -Charles Schwabb Bank Cash Account	A	Interest	N	T					

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

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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