AO 10
Rev. 1/2021

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Kayatta, William J. | First Circuit | 05/12/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| Circuit Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |

**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. | | |

## 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. | 2021 | 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. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Kayatta, William J.** | 05/12/2022 |

## 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. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Kayatta, William J.** | 05/12/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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 | L | T | | | | | |
| 3. -iShares Russell 2000 Gr. Index (IWO) | A | Dividend | J | T | | | | | |
| 4. -iShares Russell 2000 Index (IWM) | A | Dividend | L | T | | | | | |
| 5. -Vanguard Inform. Tech. ETF (VGT) | A | Dividend | K | T | | | | | |
| 6. -iShares NASDAQ Biotech. Index (IBB) | A | Dividend | K | T | | | | | |
| 7. -Fidelity Advisors New Insights Fund (FNICX) | E | Dividend | N | T | | | | | |
| 8. -Ivy Asset Strategy Fund (WASCX) | A | Dividend | L | T | | | | | |
| 9. -iShares Barclays MBS Bon Fund (MBB) | A | Dividend | K | T | | | | | |
| 10. -iShares IBOXX $ Invt Gr. Corp. Bd. Fund (LQD) | A | Dividend | J | T | | | | | |
| 11. -SPDR Barclays High Yield Bond ETF (JNK) | C | Dividend | J | T | | | | | |
| 12. -Vanguard Intermediate Term Bond ETF (BIV) | A | Dividend | J | T | | | | | |
| 13. -Vanguard Short Term Bond (BSV) | A | Dividend | J | T | | | | | |
| 14. -Merrill Lynch Bank Deposit Program | A | Interest | N | T | | | | | |
| 15. -Eaton Vance Tax Managed ETF | A | Dividend | K | T | | | | | |
| 16. 401(k) Account #1(H) | | | | | | | | | |
| 17. -Vanguard Bond Index Fund (BND) | C | Dividend | M | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Kayatta, William J.** | 05/12/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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. -iShares Barclays 7-10 Treasury Bond Fund (IEF) | A | Dividend | L | T | | | | | |
| 19. -IShares Gold Trust ETF (IAU) | A | Dividend | L | T | | | | | |
| 20. -iShares Barclays Tips Bond Fund ((TIP) | D | Dividend | M | T | | | | | |
| 21. -Schwab Sweep Account | C | Interest | P1 | T | | | | | |
| 22. -BlackstoneGSO Strategic Credit (BGB) | E | Dividend | | | Buy (add'l) | 06/16/21 | M | | |
| 23. | | | | | Sold (part) | 09/02/21 | M | B | |
| 24. | | | | | Sold (part) | 09/03/21 | K | A | |
| 25. | | | | | Sold (part) | 09/07/21 | M | B | |
| 26. | | | | | Sold | 09/13/21 | M | B | |
| 27. -Schwabb Value Advantage (SNAXX) | A | Interest | P1 | T | | | | | |
| 28. -Apollo Senior Floating Rate (AFT) | E | Dividend | M | T | | | | | |
| 29. -Blackstone GSO (BGX) | D | Dividend | | | Sold (part) | 06/16/21 | M | D | |
| 30. | | | | | Sold (part) | 06/30/21 | M | D | |
| 31. | | | | | Sold (part) | 07/06/21 | M | C | |
| 32. | | | | | Sold (part) | 09/07/21 | M | B | |
| 33. | | | | | Sold | 09/09/21 | M | B | |
| 34. -Invesco QQQ Trust (QQQ) | A | Dividend | K | T | Buy | 04/16/21 | K | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

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| **Kayatta, William J.** | 05/12/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| | Place "(X)" after each asset exempt from prior disclosure | (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. | | | | | | Buy (add'l) | 04/19/21 | K | | |
| 36. | | | | | | Sold (part) | 09/13/21 | K | C | |
| 37. | -SPDR S&P (SPY) | A | Dividend | L | T | Buy | 04/16/21 | K | | |
| 38. | | | | | | Buy (add'l) | 04/19/21 | K | | |
| 39. | Brokerage Account #2 (H) | | | | | | | | | |
| 40. | -Morgan Stanley Bank N.A. | B | Interest | L | T | | | | | |
| 41. | -iShares N. America Tech ETF (IGM) | A | Dividend | M | T | | | | | |
| 42. | -iShares NASDAQ Biotech ETF (IBB) | A | Dividend | N | T | | | | | |
| 43. | -iShares US Aerospace (ITA) | A | Dividend | M | T | | | | | |
| 44. | -iShares US Med Devices (IHI) | A | Dividend | M | T | | | | | |
| 45. | -iShares US Pharma ETF (IHE) | C | Dividend | M | T | | | | | |
| 46. | -iShares US Tech ETF (IYW) | A | Dividend | N | T | | | | | |
| 47. | -iShares US Telecomm ETF (IYZ) | C | Dividend | M | T | | | | | |
| 48. | -Clearbridge Aggressive Growth (SAGYX) | A | Dividend | M | T | Sold (part) | 06/10/21 | K | D | |
| 49. | -Ishares US Fin ETF (IYF) | B | Dividend | M | T | | | | | |
| 50. | -Ishares US Industrial ETF (IYJ) | B | Dividend | M | T | | | | | |
| 51. | -Vanguard Real Estate (VNQ) | A | Dividend | L | T | | | | | |

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
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| 52. -US Global Jets (JETS) | A | Dividend | L | T | Buy | 02/11/21 | K | | |
| 53. | | | | | Buy (add'l) | 03/22/21 | K | | |
| 54. -ME HLTH & High EDL FACS AUTH REV SER-C | A | Dividend | | | Sold | 06/10/21 | K | A | |
| 55. -ME State HSNG Auth MTG Ser. B-1 | B | Dividend | J | T | | | | | |
| 56. -ME State HSNG Auth MTG SER-C (Matures 11/15/23 | A | Dividend | J | T | | | | | |
| 57. -ME State HSNG Auth MTG SER-C (Matures 11/15/27 | A | Dividend | K | T | | | | | |
| 58. -York TownME Gen OBLIG | A | Dividend | J | T | | | | | |
| 59. -Lewiston ME PUB IMPT-A | A | Dividend | | | Redeemed | 01/15/21 | K | A | |
| 60. -Ft. NASDAQ Cyber (CIBR) | A | Dividend | L | T | | | | | |
| 61. -Regional Sch. Unit 21` ME | A | Dividend | K | T | | | | | |
| 62. -Maine State HSG AUTH MTG PUR | A | Dividend | K | T | Sold (part) | 04/19/21 | K | A | |
| 63. -Maine Health Higher EDL FACS AUTH REV | A | Dividend | K | T | | | | | |
| 64. -MSTF Ultra-short Income (MULSX) | B | Dividend | | | Sold | 02/10/21 | M | D | |
| 65. Key Bank IRA (CD) | A | Interest | J | T | | | | | |
| 66. Bank of America Deposit Account | A | Interest | J | T | | | | | |
| 67. Inherited IRA (H) | | | | | | | | | |
| 68. -SPDR PORTF Short Term (SPSB) | C | Dividend | M | T | Buy (add'l) | 03/04/21 | M | | |

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

| Name of Person Reporting | Date of Report |
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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.)*

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| | A | B | | C | | D | | | | |
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| 69. | | | | | | Sold (part) | 06/03/21 | L | B | |
| 70. | | | | | | Sold (part) | 12/13/21 | J | A | |
| 71. | -iShares Global Clean Energy | A | Dividend | K | T | Buy | 06/07/21 | K | | |
| 72. | -iShares Russell 2000 (IWM) | A | Dividend | K | T | Buy | 06/07/21 | K | | |
| 73. | -iShares S&P 500 Growth (IVW) | A | Dividend | K | T | Buy | 06/07/21 | K | | |
| 74. | -Goldman Bonds | A | Dividend | K | T | Buy | 12/13/21 | K | | |
| 75. | -US Global Jets (Jets) | A | Dividend | K | T | Buy | 06/07/21 | K | | |
| 76. | -Maine State HSG AUTH MTG PUR REV-D | A | Dividend | J | T | | | | | |
| 77. | -Boeing Bond | A | Dividend | L | T | | | | | |
| 78. | Rollover IRA (H) | | | | | | | | | |
| 79. | -Invesco QQQ Trust (QQQ) | A | Dividend | M | T | Buy | 06/22/21 | M | | |
| 80. | -Blackstone GSO Strategic Credit (BGB) | D | Dividend | N | T | Buy | 05/25/21 | M | | |
| 81. | | | | | | Buy (add'l) | 06/22/21 | M | | |
| 82. | | | | | | Buy (add'l) | 06/30/21 | M | | |
| 83. | | | | | | Sold (part) | 09/01/21 | M | D | |
| 84. | | | | | | Sold (part) | 09/02/21 | J | A | |
| 85. | -Charles Schwab Bank Cash Account | A | Interest | M | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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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| Name of Person Reporting | Date of Report |
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| **Kayatta, William J.** | 05/12/2022 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| Place "(X)" after each asset exempt from prior disclosure | (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) |
| 86. Brokerage Account #3 (H) | | | | | | | | | |
| 87. -Charles Schwabb Bank Cash Account | A | Interest | O | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
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| 2 Value Codes (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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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| | U =Book Value | V =Other | W =Estimated | | |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **Kayatta, William J.** | 05/12/2022 |

## 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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