AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Kayatta, William J.	First Circuit	05/31/2024
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 ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	Pierce Atwood LLP buyout payments under Withdrawal Agreement	$21,908.00
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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Kayatta, William J.	05/31/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. Brokerage Account #1 (H)									
2. -iShares Russell 1000 Gr. Index (IWF)	A	Dividend	L	T	Donated (part)				
3. -iShares Russell 2000 Gr. Index (IWO)	A	Dividend			Sold	01/31/23	L	E	
4. -iShares Russell 2000 Index (IWM)	A	Dividend	K	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			Sold	08/03/23	M	A	
8. -Ivy Asset Strategy Fund (WASCX)	A	Dividend			Sold	01/31/23	L	A	
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	J	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

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☐ NONE *(No reportable income, assets, or transactions.)*

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18. -iShares Barclays 7-10 Treasury Bond Fund (IEF)	A	Dividend	K	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	N	T					
22. -Schwabb Value Advantage (SNAXX)	D	Interest	P1	T	Sold	03/31/23	O	A	
23.					Buy	11/20/23	O		
24.					Buy (add'l)	12/15/23	N		
25. -Schwabb Gov. Mon.Valua Adv. (SNVXX)	D	Interest			Buy	04/14/23	O		
26.					Sold (part)	10/26/23	M	A	
27.					Sold	11/17/23	O	A	
28. -Apollo Senior Floating Rate (AFT)	E	Dividend	L	T					
29. -Blackstone GSO (BGX)	D	Dividend	M	T					
30. -Invesco QQQ Trust (QQQ)	A	Dividend	M	T	Buy (add'l)	09/29/23	L		
31.					Buy (add'l)	10/25/23	L		
32.					Sold (part)	11/14/23	M	E	
33.					Sold (part)	12/05/23	M	E	
34.					Sold (part)	12/13/23	L	D	

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35. -SPDR S&P (SPY)	A	Dividend	N	T	Buy (add'l)	03/31/23	M		
36.					Buy (add'l)	10/25/23	L		
37.					Sold (part)	11/14/23	K	D	
38.					Sold (part)	12/13/23	M	E	
39. Invesco Senior Inc. (VVR)	B	Dividend			Buy (add'l)	02/09/23	L		
40.					Sold (part)	03/06/23	L	B	
41.					Buy (add'l)	04/14/23	K		
42.					Buy (add'l)	08/17/23	L		
43.					Buy (add'l)	09/28/23	K		
44.					Sold (part)	10/10/23	M	B	
45.					Buy (add'l)	10/25/23	M		
46.					Sold (part)	12/07/23	K	B	
47.					Sold (part)	12/08/23	L	C	
48.					Sold (part)	12/11/23	K	B	
49.					Sold	12/15/23	K	B	
50. Blckrock Debt Strat. (DSU)	C	Dividend			Sold	04/13/23	K	A	
51. Eaton Vance Senior Inc. (EVF)	A	Dividend			Buy	03/06/23	M		

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52.					Sold	11/20/23	M	C	
53. Brokerage Account #2 (H)					Sold	04/13/23	K	A	
54. -Morgan Stanley Bank N.A.	A	Interest			Closed	06/01/23	J	A	
55. -iShares N. America Tech ETF (IGM)	A	Dividend	M	T					
56. -iShares NASDAQ Biotech ETF (IBB)	A	Dividend	M	T					
57. -iShares US Aerospace (ITA)	A	Dividend	M	T					
58. -iShares US Med Devices (IHI)	A	Dividend	M	T					
59. -iShares US Pharma ETF (IHE)	C	Dividend	M	T					
60. -iShares US Tech ETF (IYW)	A	Dividend	M	T					
61. -iShares US Telecomm ETF (IYZ)	C	Dividend	L	T					
62. -Clearbridge Aggressive Growth (SAGYX)	A	Dividend	L	T					
63. -Ishares US Fin ETF (IYF)	B	Dividend	M	T					
64. -Ishares US Industrial ETF (IYJ)	B	Dividend	M	T					
65. -Vanguard Real Estate (VNQ)	A	Dividend	L	T					
66. -Vanack Agri, (MOO)	A	Dividend	J	T	Buy	08/23/23	J		
67. -ME State HSNG Auth MTG Ser. B-1	B	Dividend	J	T					
68. -ME State HSNG Auth MTG SER-C (Matures 11/15/23	A	Dividend	J	T					

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69. -ME State HSNG Auth MTG SER-C (Matures 11/15/27	A	Dividend	K	T					
70. -York TownME Gen OBLIG	A	Dividend	J	T					
71. -Ft. NASDAQ Cyber (CIBR)	A	Dividend	L	T					
72. -Regional Sch. Unit 21` ME	A	Dividend	K	T					
73. -Maine State HSG AUTH MTG PUR	A	Dividend			Redeemed	06/01/23	J	A	
74. -School Admin Dist No 051	A	Dividend	K	T					
75. -Maine Health and Higher EDL FAcs Auth Rev	A	Dividend	J	T					
76. -Maine Munic Bond Block Grant Antic Rev-A	A	Dividend	K	T					
77. -Maine State Hsng Auth Mtg Pur	A	Dividend	K	T					
78. -Lewiston ME Pub Impot GO	A	Dividend	K	T					
79. -Maine Munic.Bd Bk Grant	A	Dividend	K	T					
80. -Maine st HsngAuth Mtg	A	Dividend	K	T					
81. Key Bank IRA (CD)	A	Interest	J	T					
82. Bank of America Deposit Account	A	Interest	J	T					
83. Inherited IRA (H)									
84. -SPDR PORTF Short Term (SPSB)	C	Dividend	M	T					
85. -iShares Global Clean Energy	A	Dividend	K	T					

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86. -iShares Russell 2000 (IWM)	A	Dividend	K	T					
87. -iShares S&P 500 Growth (IVW)	A	Dividend	K	T					
88. -Maine State HSG AUTH MTG PUR REV-D	A	Dividend	J	T					
89. -Boeing Bond	A	Dividend	L	T					
90. -Vanack Agribusiness ETF (MOO)	A	Dividend	J	T					
91. Rollover IRA (H)									
92. -Invesco QQQ Trust (QQQ)	A	Dividend	O	T	Buy (add'l)	03/31/23	M		
93. -Blackstone GSO Strategic Credit (BGB)	D	Dividend	M	T	Sold (part)	11/20/23	K	A	
94. -SPDR S&P (SPY)	A	Dividend	L	T					
95. -Ft NASDAQ Cybersecurity ETF (CIBR)	A	Dividend			Sold	01/03/23	J	A	
96. -Charles Schwab Bank Cash Account	A	Interest	L	T					
97. Brokerage Account #3 (H)									
98. -Charles Schwabb Bank Cash Account	A	Interest	O	T					
99. -Invesco Senior Inc (VVR)	D	Dividend			Buy	02/01/23	L		
100.					Buy (add'l)	03/31/23	L		
101.					Sold (part)	08/08/23	L	A	
102.					Sold (part)	08/10/23	M	B	

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103.					Sold	08/11/23	L	B	
104. -SNVXX	E	Dividend	O	T	Buy	02/01/23	N		
105.					Buy (add'l)	03/01/23	L		
106.					Buy (add'l)	11/17/23	N		

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.	05/31/2024

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

Name of Person Reporting	Date of Report
Kayatta, William J.	05/31/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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