AO-10T
Rev. 03/2023

FINANCIAL DISCLOSURE
PERIODIC TRANSACTION REPORT

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

*1. First Name	*2. Middle Initial	*3. Last Name	4. Suffix
William	J	Kayatta	Jr
*5. Title	*6. District/Court/Unit		*7. Circuit
circuit judge	Not Applicable		01
8. Report Type	9. Calendar Year	*10. Date Filed	11. Check box if amending prior report and enter date of prior submission.
Periodic Transaction Report	2023	05/15/2023	
*12. Date of First Transaction on this Report		*13. Date of Last Transaction on this Report	
10/06/2022		11/29/2022	

TRANSACTIONS

Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children)

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
1. Maine Health & Higher EDL FACSAUTH REV	Buy	11/29/2022	05/04/2023	$1,000 - $15,000
2. Maine Municipal BND BLK Grant Anticipation REV-A	Buy	11/29/2022	05/04/2023	$15,001 - $50,000
3. Maine State HSG AUTH MTG PUR	Buy	10/20/2022	05/04/2023	$15,001 - $50,000
4. Lewiston MAine PUB IMPT Gen Oblig SER-A	Buy	10/05/2022	05/04/2023	$15,001 - $50,000
5. Maine MUN BD BK Grant Anticipation REV-A	Buy	10/05/2022	05/04/2023	$15,001 - $50,000
6. Maine St Housing Auth MTG PUR BND SER-C	Buy	10/04/2022	05/04/2023	$15,001 - $50,000
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TRANSACTIONS

Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children)

First Name	Middle Initial	Last Name	Suffix
William	J	Kayatta	Jr

	A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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TRANSACTIONS *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children).*

First Name	Middle Initial	Last Name	Suffix
William	J	Kayatta	Jr

	A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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TRANSACTIONS *Any purchase, sale, or exchange that exceeds $1,000 in stocks, bonds, commodities futures, and other securities (Includes those of spouse and dependent children).*

First Name	Middle Initial	Last Name	Suffix
William	J	Kayatta	Jr

A. Description of Assets	B. Transaction Type	C. Date of Transaction	D. Date Notified of Transaction	E. Amount of Transaction
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First Name William	Middle Initial J	Last name Kayatta	Suffix Jr

ADDITIONAL INFORMATION OR EXPLANATIONS

My [redacted] had two accounts at Morgan Stanley. When the new reporting requirements were adopted, she wrote to her broker advising him of the new requirments and instructing him in writing as follows: "Under this new legislation, effective August 11, 2022 (today), BIll must now report within 30 days any transactions in any of our accounts involving stocks, bonds, Treasuries, REITS, or options/futures in securities, commodities or currencies. To make sure that he can do this, could you please confirm by email that there will be no such transactions in any of our accounts except as confirmed beforehand by an email to or from me?" The broker promptly confirmed that he would comply.

In looking at my [redacted] 12/31 monthly statment in mid-January to see how the account was faring generally, I noticed that her broker had purchased on her account in December a bond issued by a school district. I promptly filed a timely disclosure of the transaction, and my [redacted] complained to her broker about the delayed notice. He apologized, but did not mention any other transactions.

In connection with my preparation of my annual financial disclosure report, I requested and received on May 4 from Morgan Stanley reports of holdings and of aquisitions and dispositions for calendar year 2022. The report disclosed 6 other acquisitions of municipal bonds between August 11 and the end of the year, all prior to December of 2022. Those are the six acquisitions reported on this form.

We did receive each month statements which if examined in detail would have disclosed the transactions that were made without the agreed upon authorization and notice. In reliance on the instructions given to the broker, we did not undertake that examination. Neither one of us examined in any detail her annual comprehensive statement, which we forwarded to our accountant to prepare our tax returns (which by their nature reflect no acquisitions).

My [redacted] has moved her accounts from Morgan Stanley to another broker, with instructions to the new broker as above. And one of us will now backstop that arrangement by more regularly examining in detail the monthly reports she receives.

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.

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. § 13106)

**SIGNATURE:*

s/ William J Kayatta Jr

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544