

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) DYK, TIMOTHY B.	2. Court or Organization FEDERAL CIRCUIT	3. Date of Report 05/02/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 717 MADISON PLACE, N.W. WASHINGTON, D.C. 20439		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. JUDICIAL COUNSELOR	GILES RICH INN OF COURT
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

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. 2011	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$472.00
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. 2011	NYU LAW SCHOOL - SALARY
2. 2011	GEORGE WASHINGTON UNIVERSITY - HONORARIA \$1,000
3. 2011	WASHINGTON UNIVERSITY - HONORARIA \$2,000
4. 2011	PODESTA GROUP INC - CONSULTANT
5. 2011	RESOURCES FOR THE FUTURE - HONORARIA \$ 1,000
6.	

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. NEW YORK INTELLECTUAL PROPERTY LAW ASSOCIATION (NYIPLA)	03/24 - 03/26, 2011	NEW YORK, NY	NYIPLA CLA PROGRAM & ANNUAL DINNER	TRANSPORTATION, LODGING, MEALS
2. LEWIS & CLARK LAW SCHOOL	02/27 - 03/02/2011	PORTLAND OR	EDUCATIONAL PROGRAM	TRANSPORTATION, LODGING, MEALS
3.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

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) Amount Code I (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. LOT - TRURO, MA (PARCEL 1) (\$251,100)		None	N	S					
2. CONDOMINIUM - N. MIAMI BEACH FL		None			Sold	05/12/11	L		JC & MICHELINE REED
3. CARLYLE FUND	E	Dividend	N	T					
4.					Buy (add'l)	01/27/11	L		
5. CITIBANK BK DPT	A	Interest	K	T					
6. I SHARES S&P NEW YORK BOND FUND	C	Interest	M	T					
7. FIRST NIAGRA FINANCIAL (COMMON STOCK)	A	Interest	J	T					
8. GENERAL MOTORS (COMMON STOCK)		None	K	T	Buy	12/27/11	K		
9. JAPAN EQUITY FUND		None	K	T	Buy	12/19/11	K		
10.					Buy (add'l)	12/28/11	J		
11. VANGUARD MM	A	Interest	L	T					
12. DEUTCHE TELECOM (COMMON STOCK)	A	Dividend	K	T	Buy	12/15/11	K		
13. BANK OF AMERICA (COMMON STOCK)	A	Dividend	K	T					
14.					Buy (add'l)	11/15/11	J		
15.					Buy (add'l)	11/29/11	J		
16.					Buy (add'l)	12/20/11	J		
17. NUVEEN MUNICIPAL VALUE FUND	D	Int./Div.	M	T	Sold (part)	04/14/11	L	C	

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

Page 6 of 13

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DYK, TIMOTHY B.

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05/02/2012

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☐ 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) 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. ROYAL DUTCH SHELL (COMMON STOCK)	A	Dividend	L	T	Buy	12/20/11	L		
19. TOTAL S.A. (COMMON STOCK)	B	Dividend	M	T	Buy	04/19/11	L		
20.					Buy (add'l)	05/09/11	L		
21. VANGUARD MONEY MARKET FUND T/E	D	Dividend	P1	T					
22. NY COMM BK CORP	B	Dividend	J	T					
23. HUDSON CITI BANK CORP		None			Sold	04/05/11	J		
24. I-SHARES US PREFERRED STOCK INDEX	D	Dividend	L	T					
25. I-SHARES S&P MUNI BOND FUND		None			Sold	04/04/11	L	B	
26. NORTHWEST BANK SHARES	A	Dividend	J	T					
27. ABB LIMITED (COMMON STOCK)	B	Dividend	K	T	Buy	12/12/11	K		
28. DEUTCHE TELECOM (COMMON STOCK)	A	Dividend	J	T	Buy	03/16/11	J		
29. GENERAL MOTORS (COMMON STOCK)		None	K	T	Buy	12/19/11	K		
30. ROYAL DUTCH SHELL (COMMON STOCK)	B	Dividend	L	T	Buy	02/14/11	L		
31. TOTAL S.A. (COMMON STOCK)	A	Dividend	J	T	Buy	05/13/11	L		
32.					Sold (part)	12/30/11	L		
33. VANGUARD INTERMEDIATE T/E		None			Sold	07/06/11	M	B	
34. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	J	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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DYK, TIMOTHY B.

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35. CAPITOL FEDERAL FINANCIAL (COMMON STOCK)	A	Dividend	K	T					
36. BRIGHT PT INC (COMMON STOCK)		None	J	T					
37. ASTORIA FINANCIAL (COMMON STOCK)	A	Dividend	J	T					
38. HARRIS INTERACTIVE INC (COMMON STOCK)		None	J	T					
39. OSI SYSTEMS INC (COMMON STOCK)		None	K	T					
40. POWERWAVE TECH INC (COMMON STOCK)		None	J	T					
41. SIRONA DENTAL SYSTEMS INC (COMMON STOCK)		None	K	T					
42. TELEFONICA SA (COMMON STOCK)	B	Dividend	K	T	Buy	12/15/11	K		
43. TETRATECH INC (COMMON STOCK)		None	J	T					
44. UNITED NATURAL FOODS (COMMON STOCK)		None	K	T					
45. CAPMARK BANK CD DUE 07/16/12	C	Interest	M	T					
46. WATTS WATER TECH (COMMON STOCK)	A	Dividend	J	T					
47. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
48. VANGUARD IRA #4	D	Dividend	N	T					
49. - WILLIAMS COM GR INC. NOTES					Sold	08/16/11	J		
50. - 1 SHARES MSCI JAPAN									
51. - LUCCADIA NATIONAL CORP (COMMON STOCK)					Buy	08/16/11	J		

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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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

DYK, TIMOTHY B.

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52. - FIDELITY JAPAN SMALL CO. FUND									
53. -VANGUARD MM									
54. - GENERAL ELECTRIC CO (COMMON STOCK)									
55. - INTEL CORP (COMMON STOCK)									
56. - NY TIMES CO (COMMON STOCK)									
57. - CAPITAL TRUST INC (COMMON STOCK)									
58. - DOW CHEMICAL BOND DUE 05/15/14									
59. VANGUARD IRA - #1	E	Dividend	N	T					
60. - VANGUARD HIGH YIELD CORP FUND					Buy	12/30/11	L		
61. - BANK OF AMERICA (COMMON STOCK)					Buy	10/14/11	J		
62. - FIDELITY JAPAN SM CO FUND									
63. - EXXON MOBIL (COMMON STOCK)					Sold	02/14/11	L	E	
64. - I SHARES JAPAN INDEX FUND									
65. - TELEFONICA (COMMON STOCK)					Buy	08/08/11	K		
66. - TELEFONICA (COMMON STOCK)					Sold	12/12/11	K		
67. - I-SHARES PREFERRED STOCK INDEX									
68. - KENNA METAL (COMMON STOCK)					Buy	03/08/11	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

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69. - KENNA METAL (COMMON STOCK)					Sold	04/12/11	K		
70. - THIRD AVE FOCUSED CREDIT FUND									
71. - N Y TIMES (COMMON STOCK)									
72. - DEUTCHE TELECOM (COMMON STOCK)					Buy	03/16/11	K		
73. - DEUTCHE TELECOM (COMMON STOCK)					Sold	12/12/11	K		
74. - MORGAN STANLEY SENIOR NOTES									
75. - VANGUARD MONEY MARKET									
76. -LUMINENT (COMMON STOCK)									
77. VANGUARD IRA #2	C	Dividend	N	T					
78. -VANGUARD MONEY MARKET									
79. - EXPEDITORS INTL (COMMON STOCK)					Buy	03/08/11	K		
80. - EXPEDITORS INTL (COMMON STOCK)					Sold	04/12/11	L	A	
81. - FIDELITY INV TRUST JAPAN SMALL CO FUND					Sold (part)	02/22/11	K		
82. - DODGE & COX INT FUND					Sold	04/01/11	K	C	
83. - DEUTCHE TELECOM (COMMON STOCK)					Buy	03/16/11	J		
84. - CITIGROUP (COMMON STOCK)									
85. - VALLEY NATIONAL BANK (COMMON STOCK)					Buy	08/08/11	K		

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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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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

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86. -LUMINENT (COMMON STOCK)									
87. - INTEL (COMMON STOCK)									
88. - N Y TIMES (COMMON STOCK)									
89. VANGUARD IRA # 3	E	Dividend	M	T					
90. - VANGUARD MM FUND									
91. - I SHARES S&P PREFERRED STOCK INDEX FUND									
92. - ROYAL DUTCH SHELL (COMMON STOCK)					Distributed (part)	12/20/11	L		
93. - THIRD AVE FOCUS CREDIT FUND									
94. - FAIR POINT COMMUNICATIONS (COMMON STOCK)									
95. - INTEL CORP (COMMON STOCK)									
96. TD WATERHOUSE IRA #1 (CASH)	A	Dividend	J	T					
97. TD WATERHOUSE IRA #2	A	Dividend	N	T					
98. -SPEC SITUATION LIFE SCIENCES FUND									
99. WELLS FARGO IRA	A	Dividend	J	T					
100. - MONEY MARKET									
101. - KAISER ALUMINUM (COMMON STOCK)									
102. - KAISER ALUMINUM SENIOR NOTES DUE 02/15/02									

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FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

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103. MASS MUTUAL LIFE INS	A	Dividend	K	W					
104. ING LIFE INS	C	Dividend	M	T					
105. PNC BANK WASH DC	A	Interest	K	T					
106. US BONDS	C	Interest	M	T					
107. J.J. GUMBERG LIMITED PARTNERSHIP	B	Distribution	J	W					
108.									

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FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

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

- 1) TOTAL INCOME FOR IRA ACCOUNTS IS TOTAL INCOME AS REPORTED BY CUSTODIAN OF ACCOUNT.
- 2) TRANSFERS FROM IRA MONEY MARKET TO PERSONAL ACCOUNT (RMD) NOT SHOWN; DISTRIBUTIONS IN KIND REPORTED ON LINES 18 & 92.
- 3) LINES 49 & 51 - WILLIAMS COM GR INC. NOTES WERE EXCHANGED FOR LUCCADIA NATIONAL CORP (COMMON STOCK) ON 08/16/2011
- 4) LINE 6 - THE NAME OF THE INVESTMENT ON THE 2010 REPORT WAS INCORRECTLY REPORTED AS 1 SHARES S&P NATIONAL BOND FUND.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/02/2012

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/ TIMOTHY B. DYK**

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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Washington, D.C. 20544