

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2015 to 12/31/2015
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 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.)

<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.	

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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. 2015	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$621.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	NYU LAW SCHOOL - SALARY
2. 2015	STATE OF MARYLAND - HONORARIA - \$6,000
3. 2015	WASHINGTON UNIVERISTY - HONORARIA - \$4,250
4. 2015	PODESTA GROUP INC. - CONSULTANT

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. DELAWARE BAR ASSOCIATION AND FCBA CHARITABLE FUND	5/7 - 5/8/2015	WILMINGTON, DE	DISTRICT OF DELAWARE BENCH AND BAR CONFERENCE	TRANSPORTATION, LODGING, MEALS
2. FCBA CHARITABLE FUND	6/24 - 6/27/2015	DANA POINT, CA	FEDERAL CIRCUIT BAR ASSOCIATION BENCH AND BAR CONFERENCE	TRANSPORTATION, LODGING, MEALS
3. PHILADELPHIA INTELLECTUAL PROPERTY LAW ASSOCIATION	11/11/2015	PHILADELPHIA, PA	ANNUAL JUDGES DINNER	TRANSPORTATION, MEAL

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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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) 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) (\$232,900)		None	M	S					
2. CARLYLE FUND	B	Dividend	M	T					
3. MORGAN STANLEY MONEY MARKET FUND	A	Int./Div.	N	T					
4. ISHARES NEW YORK MUNI BOND FUND	C	Int./Div.	M	T					
5. FIRST NIAGRA FINANCIAL (COMMON STOCK)	A	Dividend	J	T					
6. JAPAN EQUITY FUND	A	Dividend	L	T					
7. DEUTSCHE TELECOM (COMMON STOCK)	B	Dividend	L	T					
8. BANK OF AMERICA (COMMON STOCK)	B	Dividend	M	T					
9. PETROBRAS (COMMON STOCK)	B	Dividend			Sold	04/17/15	L		
10. NUVEEN MUNICIPAL MKT OPP FUND	A	Dividend	L	T	Buy	12/03/15	L		
11. LEUCADIA NATL CORP (COMMON STOCK)	A	Dividend	K	T					
12. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
13. NUVEEN MUNICIPAL VALUE FUND	D	Int./Div.	N	T					
14. NUVEEN MUNICIPAL OPP FUND	D	Interest	L	T					
15. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	M	T					
16. VANGUARD MONEY MARKET FUND T/E	A	Dividend	O	T					
17. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	A	Dividend	M	T	Buy	11/23/15	L		

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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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 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. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	D	Dividend	M	T					
19. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
20. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
21. FORD MOTOR CO (COMMON STOCK)		None			Sold	01/12/15	J	A	
22. NUVEEN SELECT TAX FREE INCOME FUND	D	Interest	M	T					
23. ABB LIMITED (COMMON STOCK)	C	Dividend	L	T					
24. TOTAL S.A. (COMMON STOCK)	C	Dividend	L	T					
25. NORTHWEST BIOTHERAPUTICS (COMMON STOCK)		None	J	T	Sold (part)	07/22/15	K	E	
26. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	K	T					
27. ASTORIA FINANCIAL (COMMON STOCK)	A	Dividend	K	T					
28. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
29. VANGUARD IRA #4	D	Dividend	N	T					
30. -ISHARES MSCI JAPAN									
31. -LEUCADIA NATIONAL CORP (COMMON STOCK)									
32. -ABB LTD (COMMON STOCK)									
33. -NEW AMERICA HIGH INCOME FUND									
34. -WESTERN ASSET MANAGED HIGH INCOME FUND					Buy	12/15/15	L		

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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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 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. -BANK OF CALIFORNIA (COMMON STOCK)									
36. -FIDELITY JAPAN SMALL CO. FUND									
37. -GLADSTONE COMM CORP FUND					Buy	10/12/15	K		
38. -VANGUARD MONEY MARKET									
39. -BLACKSTONE MORT TRUST (COMMON STOCK)									
40. -CRIMSON WINE GROUP (COMMON STOCK)									
41. -PEOPLES UNITED (COMMON STOCK)									
42. VANGUARD IRA - #1	E	Dividend	O	T					
43. -BANK OF AMERICA (COMMON STOCK)									
44. -FIDELITY JAPAN SM CO FUND									
45. -DEUTSCHE HIGH INCOME OPPORTUNITIES FUND									
46. -ENSCO (COMMON STOCK)					Buy (add'l)	11/05/15	K		
47. -WESTERN ASSET HIGH YIELD DEF OPP FUND					Buy	07/22/15	M		
48.					Buy (add'l)	07/27/15	K		
49.					Buy (add'l)	08/11/15	L		
50. -PATTERSON UTI ENERGY (COMMON STOCK)					Buy	12/28/15	K		
51. -ISHARES JAPAN INDEX FUND									

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	
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52. -EXXON MOBIL (COMMON STOCK)					Buy	08/03/15	L		
53. -MORGAN STANLEY SENIOR NOTES					Redeemed	04/28/15	L		
54. -VANGUARD MONEY MARKET									
55. -LUMINENT (COMMON STOCK)									
56. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)									
57. -ISHARES S KOREA FUND					Buy	01/05/15	L		
58.					Sold	04/17/15	L	D	
59. VANGUARD IRA #2	D	Dividend	N	T					
60. -VANGUARD MONEY MARKET									
61. -FIDELITY INV TRUST JAPAN SMALL CO FUND									
62. -DEUTSCHE TELECOM (COMMON STOCK)									
63. -CITIGROUP (COMMON STOCK)									
64. -VALLEY NATIONAL STOCK (COMMON STOCK)									
65. -LUMINENT (COMMON STOCK)									
66. -DEUTSCHE HIGH INCOME OPPORTUNITIES FUND									
67. VANGUARD IRA #3	D	Dividend	N	T					
68. -VANGUARD MONEY MARKET									

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	
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69. -ISHARES BRAZIL FUND					Buy	09/21/15	K		
70. -WESTERN ASSET HIGH YIELD DEF OPP FUND					Buy	10/05/15	L		
71. -CONOCO PHILLIPS (COMMON STOCK)									
72. -ISHARES BRAZIL SM CAP FUND					Buy	09/21/15	K		
73. -FAIR POINT COMMUNICATIONS (COMMON STOCK)									
74. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)									
75. TD AMERITRADE IRA #1 (CASH)	A	Dividend	J	T					
76. TD AMERITRADE IRA #2	A	Dividend	O	T					
77. -SPEC SITUATION LIFE SCIENCES FUND									
78. -MONEY MARKET									
79. WELLS FARGO IRA	A	Dividend	J	T					
80. -MONEY MARKET									
81. -KAISER ALUMINUM (COMMON STOCK)									
82. -KAISER ALUMINUM SENIOR NOTES DUE 02/15/02									
83. VANGUARD IRA #5	A	Dividend	M	T					
84. -VANGUARD MONEY MARKET									
85. -NEW AMERICA HIGH INCOME FUND									

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
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86. -WESTERN ASSET HIGH YIELD DEF OPP FUND					Buy	11/23/15	M		
87.					Buy (add'l)	11/27/15	K		
88. NEW YORK UNIVERISTY 403(b) PLAN (PREVIOUSLY VANGUARD IRA #6)	B	Dividend	M	T					
89. -VANGUARD DIVIDEND GROWTH FUND									
90. MASS MUTUAL LIFE INSURANCE	A	Dividend	K	W					
91. ING LIFE INSURANCE	C	Dividend	M	T					
92. PNC BANK WASHINGTON DC	A	Interest	K	T					
93. US BONDS	C	Interest	M	T					
94. J.J. GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
95. VIRGINIA RETIREMENT SYSTEM	A	Interest	J	T					
96.									
97.									

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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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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 ACCOUNTS (RMD) NOT SHOWN.
3. PART VII, LINES 87-88: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY).

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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/ **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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544