

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 09/21/2017
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 1/1/2016 to 12/31/2016
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. 2016	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$346.00
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. 2016	NYU LAW SCHOOL - SALARY
2. 2016	WASHINGTON UNIVERSITY - HONORARIA - \$4,000
3. 2016	PODESTA GROUP INC. - CONSULTANT
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	WILLIAM C. CONNOR INN OF COURT	01/19/2016 - 01/21/2016	NEW YORK, NY	RECIPIENT OF THE CONNER INN EXCELLENCE AWARD	TRANSPORTATION, LODGING, MEALS
2.	NYU SCHOOL OF LAW	02/23/2016 - 02/25/2016	NEW YORK, NY	EDUCATIONAL PROGRAM	TRANSPORTATION, LODGING, MEALS
3.	FCBA - THE DELAWARE CHAPTER OF THE FBA	05/19/2016 - 05/20/2016	WILMINGTON, DE	DELAWARE BENCH AND BAR PROGRAM	TRANSPORTATION, LODGING, MEALS
4.	BOSTON PATENT LAW ASSOCIATION	06/01/2016 - 06/02/2016	BOSTON, MA	DINNER HONORING THE FEDERAL JUDICIARY	TRANSPORTATION, LODGING, MEALS

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5.	ILLINOIS INSTITUTE OF TECHNOLOGY; CHICAGO-KENT COLLEGE OF LAW	09/21/2016 - 09/22/2016	CHICAGO, IL	EDUCATIONAL SEMINAR	TRANSPORTATION, LODGING, MEALS
6.	FCBA	10/12/2016 - 10/15/2016	PARIS, FRANCE	FCBA GLOBAL SERIES	TRANSPORTATION, LODGING, MEALS
7.	THE AMERICAN LAW INSTITUTE	11/09/2016 - 11/10/2016	PHILADELPHIA, PA	ALI ADVISORS MEETING	TRANSPORTATION, LODGING, MEALS

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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 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. LOT - TRURO, MA (PARCEL 1) (\$235,100)		None	M	S					
2. CARLYLE FUND	B	Dividend	M	T					
3. MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Int./Div.	M	T					
4. ISHARES NEW YORK MUNI BOND FUND	A	Int./Div.			Sold	05/11/16	M	D	
5. KEY CORP (FKA FIRST NIAGRA FINANCIAL) (COMMON STOCK)	A	Dividend	J	T					
6. JAPAN EQUITY FUND	A	Dividend	L	T					
7. DEUTSCHE TELECOM (COMMON STOCK)	A	Dividend			Sold	08/26/16	J	C	
8. BANK OF AMERICA (COMMON STOCK)	B	Dividend	M	T	Buy (add'l)	02/01/16	K		
9. BANK OF AMERICA (COMMON STOCK)	A	Dividend			Donated (part)				
10. NUVEEN AMT FREE QUALITY MUNI INCME FUND (FKA NUVEEN MUNI MKT OPP FUND)	D	Dividend	L	T					
11. LEUCADIA NATL CORP (COMMON STOCK)	A	Dividend			Sold	11/16/16	K	A	
12. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
13. NUVEEN MUNICIPAL VALUE FUND	D	Int./Div.	N	T					
14. NUVEEN AMT FREE MUNI CREDIT INCOME FUND (FKA NUVEEN MUNI OPP FUND)	D	Interest	L	T					
15. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	M	T					
16. VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	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 \$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)
17. VANGUARD TAX EXEMPT MONEY MARKET FUND	B	Dividend	N	T					
18. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	B	Dividend	M	T					
19. BB&T CORP (PREFERRED STOCK)	A	Dividend	L	T	Buy	12/14/16	K		
20. BANK OF CALIFORNIA (PREFERRED STOCK)	A	Dividend	K	T	Buy	12/14/16	K		
21. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	D	Dividend	M	T					
22. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
23. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
24. NUVEEN SELECT TAX FREE INCOME FUND	D	Interest	M	T					
25. ABB LIMITED (COMMON STOCK)	B	Dividend			Sold	08/17/16	L	D	
26. TOTAL S.A. (COMMON STOCK)	C	Dividend	L	T					
27. NORTHWEST BIOTHERAPEUTICS (COMMON STOCK)		None			Sold	12/21/16	J		
28. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	L	T					
29. ASTORIA FINANCIAL (COMMON STOCK)	A	Dividend	K	T					
30. PA ST MUNI BD	A	Interest	K	T	Buy	12/02/16	K		
31. LAWRENCE MA MUNI BD	A	Interest	K	T	Buy	12/02/16	K		
32. NEWPORT-MESA CA UNION SCH DIST MUNI BD	A	Interest	K	T	Buy	12/02/16	K		
33. ALTOONA WI MUNI BD	A	Interest	K	T	Buy	12/23/16	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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34. INDIANAPOLIS IN THERMO SYSTEM MUNI BD	A	Interest	K	T	Buy	12/23/16	K		
35. TRI COUNTY METRO TRANSP DIST OR MUNI BD	A	Interest	K	T	Buy	12/23/16	K		
36. DEUTSCHE BK (COMMON STOCK)	B	Dividend			Buy	04/12/16	K		
37. DEUTSCHE BK (COMMON STOCK)		None			Sold	10/24/16	K		
38. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
39. VANGUARD IRA #4	E	Dividend	O	T					
40. -ISHARES MSCI JAPAN	B	Dividend	L	T					
41. -LEUCADIA NATIONAL CORP (COMMON STOCK)	A	Dividend			Sold	11/16/16	K		
42. -ABB LTD (COMMON STOCK)	A	Dividend			Sold	08/17/16	K	D	
43. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
44. -WESTERN ASSET MANAGED HIGH INCOME FUND	D	Dividend	L	T	Buy (add'l)	01/15/16	K		
45. -WESTERN ASSET / CLAYMORE INFLATION LINKED OPP FUND	A	Dividend	M	T	Buy	11/16/16	L		
46. -BANK OF CALIFORNIA (COMMON STOCK)	A	Dividend			Sold	08/17/16	L	E	
47. -FIDELITY JAPAN SMALL CO. FUND	A	Dividend	L	T					
48. -GLADSTONE COMM CORP FUND	C	Dividend	L	T					
49. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
50. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					

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51. -BLACKSTONE MORT TRUST (COMMON STOCK)	A	Dividend	J	T					
52. -CRIMSON WINE GROUP (COMMON STOCK)	A	Dividend	J	T					
53. -PEOPLES UNITED (COMMON STOCK)	B	Dividend	L	T					
54. VANGUARD IRA - #1	E	Dividend	O	T					
55. -BANK OF AMERICA (COMMON STOCK)	A	Dividend	K	T					
56. -FIDELITY JAPAN SM CO FUND	A	Dividend	M	T					
57. -DEUTSCHE HIGH INCOME OPPORTUNITIES FUND	A	Dividend			Sold	08/26/16	J		
58. -ENSCO (COMMON STOCK)	A	Dividend	K	T					
59. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	M	T					
60. -PATTERSON UTI ENERGY (COMMON STOCK)	A	Dividend			Sold	10/03/16	K	E	
61. -ISHARES JAPAN INDEX FUND	A	Dividend	L	T					
62. -ISHARES MSCI MEXICO ETF	A	Dividend	K	T	Buy	11/14/16	K		
63. -EXXON MOBIL (COMMON STOCK)	A	Dividend			Sold	11/28/16	L	D	
64. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
65. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	K	T					
66. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
67. -LUMINENT (COMMON STOCK)	A	Dividend	J	T					

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68. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	C	Dividend	K	T					
69. VANGUARD IRA#2	D	Dividend	N	T					
70. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	T					
71. -FIDELITY INV TRUST JAPAN SMALL CO FUND	C	Dividend	N	T					
72. -DEUTSCHE TELECOM (COMMON STOCK)	A	Dividend			Sold	11/28/16	J	A	
73. -CITIGROUP (COMMON STOCK)	A	Dividend	J	T					
74. -PATTERSON UTI ENERGY (COMMON STOCK)	A	Dividend			Buy	01/11/16	K		
75. -PATTERSON UTI ENERGY (COMMON STOCK)					Sold	10/03/16	K	E	
76. -VALLEY NATIONAL STOCK (COMMON STOCK)	C	Dividend	L	T					
77. -LUMINENT (COMMON STOCK)	A	Dividend	J	T					
78. -DEUTSCHE HIGH INCOME OPPORTUNITIES FUND	B	Dividend	K	T					
79. VANGUARD IRA #3	D	Dividend	N	T					
80. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
81. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
82. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
83. -DEUTSCHE BANK (COMMON STOCK)	A	Dividend	K	T	Buy	06/24/16	K		
84. -POWERSHARES KBW BANK ETF	A	Dividend	K	T	Buy	06/24/16	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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85. -ROYCE VALUE TRUST FUND	B	Dividend	L	T	Buy	06/24/16	L		
86. -ISHARES BRAZIL FUND	A	Dividend			Sold	04/19/16	L	D	
87. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	M	T					
88. -CONOCO PHILLIPS (COMMON STOCK)	A	Dividend	L	T					
89. -ISHARES BRAZIL SM CAP FUND	A	Dividend			Sold	04/19/16	L	D	
90. -FAIR POINT COMMUNICATIONS (COMMON STOCK)	A	Dividend	J	T					
91. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	A	Dividend	K	T					
92. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
93. TD AMERITRADE IRA #2	A	Dividend	O	T					
94. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	N	T					
95. -TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	M	T					
96. WELLS FARGO IRA	A	Dividend	J	T					
97. -WELLS FARGO BANK ACCOUNT	A	Dividend	J	T					
98. -KAISER ALUMINUM (COMMON STOCK)	A	Dividend	J	T					
99. -KAISER ALUMINUM SENIOR NOTES DUE 02/15/02	A	Dividend	J	T					
100. VANGUARD IRA #5	A	Dividend	M	T					
101. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	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 \$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)
102. -NEW AMERICA HIGH INCOME FUND	A	Dividend	K	T					
103. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	M	T					
104. NEW YORK UNIVERSITY 403(b) PLAN (PREVIOUSLY VANGUARD IRA #6)	C	Dividend	M	T					
105. -VANGUARD DIVIDEND GROWTH FUND	A	Dividend			Sold	12/23/16	M	D	
106. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend	M	T	Buy	12/23/16	M		
107. MASS MUTUAL LIFE INSURANCE	A	Dividend	K	W					
108. ING LIFE INSURANCE	C	Dividend	M	T					
109. PNC BANK WASHINGTON DC	A	Interest	K	T					
110. US BONDS	D	Interest	M	T					
111. J.J. GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
112. VIRGINIA RETIREMENT SYSTEM	A	Interest	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	

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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, LINE 104: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY).
4. THE VANGUARD FEDERAL MONEY MARKET FUND IS AN SEC-MANDATED SETTLEMENT FUND FOR SECURITIES TRANSACTIONS. PURCHASES AND SALES OF SECURITIES DISCLOSED IN THIS REPORT AUTOMATICALLY RESULTED IN CORRESPONDING SALES AND PURCHASES IN THE FUND. MONEY MARKET TRANSACTIONS INVOLVING DEPOSITS OF EMPLOYMENT COMPENSATION OR PAYMENT OF PERSONAL EXPENSES AND EXCHANGES BETWEEN FUNDS NOT LISTED AS BEING IDENTICAL TO BANK ACCOUNT ACTIVITIES.

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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
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