

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/15/2013
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 01/01/2012 to 12/31/2012
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$332.00
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. 2012	NYU LAW SCHOOL - SALARY
2. 2012	STATE OF MARYLAND - HONORARIA \$1,500
3. 2012	WASHINGTON UNIVERSITY - HONORARIA \$3,500
4. 2012	PODESTA GROUP INC - CONSULTANT
5. 2012	DUKE UNIVERSITY - HONORARIA \$ 26,402
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. NYU SCHOOL OF LAW	01/25 - 01/26/2012	NEW YORK NY	EDUCATIONAL PROGRAM	TRANSPORTATION, LODGING, MEALS
2.				
3.				
4.				
5.				

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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.

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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) (\$238,500)		None	N	S					
2. CARLYLE FUND	E	Dividend	N	T					
3. CITIBANK BK DPT	A	Interest	L	T					
4. 1 SHARES S&P NEW YORK BOND FUND	C	Interest	M	T					
5. FIRST NIAGRA FINANCIAL (COMMON STOCK)	A	Dividend	J	T					
6. JAPAN EQUITY FUND	A	Dividend	K	T					
7. APACHE (COMMON STOCK)	A	Dividend	L	T	Buy	11/12/12	L		
8. DEUTCHE TELECOM (COMMON STOCK)	C	Dividend	K	T					
9. BANK OF AMERICA (COMMON STOCK)	A	Dividend	L	T	Sold (part)	10/08/12	K		
10. DEVON ENERGY CORP (COMMON STOCK)	A	Dividend	M	T	Buy	12/28/12	M		
11. LEUCADIA NATL CORP (COMMON STOCK)	A	Dividend	K	T	Buy	11/19/12	K		
12. OCCIDENTAL PETROLIUM (COMMON STOCK)	A	Dividend	L	T	Buy	12/13/12	L		
13. NUVEEN MUNICIPAL VALUE FUND	D	Int./Div.	M	T					
14. NUVEEN MUNICIPAL OPP FUND	C	Interest	L	T	Buy	03/29/12	L		
15. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	M	T	Buy (add'l)	04/11/12	K		
16. VANGUARD MONEY MARKET FUND T/E	D	Dividend	P1	T					
17. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	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 –\$250,001 - \$500,000,000	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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☐ 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)

18. I-SHARES US PREFERRED STOCK INDEX	D	Dividend	L	T					
19. NORTHWEST BANK SHARES (COMMON STOCK)	A	Dividend	J	T					
20. ABB LIMITED (COMMON STOCK)	B	Dividend	L	T	Buy (add'l)	12/05/12	K		
21. GENERAL MOTORS (COMMON STOCK)		None	L	T					
22. TOTAL S.A. (COMMON STOCK)	D	Dividend	M	T					
23. NORTHWEST BIOTHERAPUTICS (COMMON STOCK)		None	K	T	Buy	11/28/12	L		
24.					Buy (add'l)	12/07/12	K		
25. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	J	T					
26. CAPITOL FEDERAL FINANCIAL (COMMON STOCK)	A	Dividend			Sold	09/10/12	K	B	
27. BRIGHT PT INC (COMMON STOCK)		None			Sold	10/16/12	J		
28. ASTORIA FINANCIAL (COMMON STOCK)	A	Dividend	J	T					
29. HARRIS INTERACTIVE INC (COMMON STOCK)		None	J	T					
30. OSI SYSTEMS INC (COMMON STOCK)		None	K	T					
31. POWERWAVE TECH INC (COMMON STOCK)		None	J	T					
32. SIRONA DENTAL SYSTEMS INC (COMMON STOCK)		None	K	T					
33. TELEFONICA SA (COMMON STOCK)	B	Dividend			Sold	10/08/12	K		
34. TETRATECH INC (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 \$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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☐ 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. UNITED NATURAL FOODS (COMMON STOCK)		None	K	T					
36. CAPMARK BANK CD DUE 07/16/12	A	Interest			Redeemed	07/16/12	M		
37. WATTS WATER TECH (COMMON STOCK)	A	Dividend	K	T					
38. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
39. VANGUARD IRA #4	D	Dividend	N	T					
40. - I SHARES MSCI JAPAN									
41. -LEUCADIA NATIONAL CORP (COMMON STOCK)									
42. - ABB LTD (COMMON STOCK)					Buy	06/26/12	K		
43. - ABB LTD (COMMON STOCK)					Distributed (part)	12/05/12	K		
44. - FIDELITY JAPAN SMALL CO. FUND									
45. -VANGUARD MONEY MARKET									
46. - GENERAL ELECTRIC CO (COMMON STOCK)									
47. - INTEL CORP (COMMON STOCK)					Sold	03/02/12	L	E	
48. - NY TIMES CO (COMMON STOCK)									
49. - CAPITAL TRUST INC (COMMON STOCK)									
50. - DOW CHEMICAL BOND DUE 05/15/14					Redeemed (part)	12/17/12	K	A	
51. VANGUARD IRA - #1	E	Dividend	O	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	
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52. - VANGUARD HIGH YIELD CORP FUND									
53. - BANK OF AMERICA (COMMON STOCK)									
54. - FIDELITY JAPAN SM CO FUND									
55. - I SHARES JAPAN INDEX FUND									
56. - I-SHARES PREFERRED STOCK INDEX									
57. - THIRD AVE FOCUSED CREDIT FUND									
58. - N Y TIMES (COMMON STOCK)									
59. - MORGAN STANLEY SENIOR NOTES									
60. - VANGUARD MONEY MARKET									
61. -LUMINENT (COMMON STOCK)									
62. VANGUARD IRA #2	D	Dividend	N	T					
63. -VANGUARD MONEY MARKET									
64. - FIDELITY INV TRUST JAPAN SMALL CO FUND									
65. - DEUTCHE TELECOM (COMMON STOCK)									
66. - CITIGROUP (COMMON STOCK)									
67. - VALLEY NATIONAL BANK (COMMON STOCK)									
68. -LUMINENT (COMMON STOCK)									

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69. - INTEL (COMMON STOCK)					Sold	03/02/12	K	E	
70. - N Y TIMES (COMMON STOCK)									
71. VANGUARD IRA # 3	D	Dividend	N	T					
72. - VANGUARD MONEY MARKET									
73. - I SHARES S&P PREFERRED STOCK INDEX FUND									
74. - ROYAL DUTCH SHELL (COMMON STOCK)					Distributed	04/11/12	K		
75. - THIRD AVE FOCUS CREDIT FUND									
76. - CONOCO PHILLIPS (COMMON STOCK)					Buy	04/16/12	L		
77. - FAIR POINT COMMUNICATIONS (COMMON STOCK)									
78. - INTEL CORP (COMMON STOCK)					Sold	03/02/12	L	E	
79. - PHILLIPS 66 (COMMON STOCK)					Spinoff (from line 76)	04/30/12	K		
80. TD WATERHOUSE IRA #1 (CASH)	A	Dividend	J	T					
81. TD WATERHOUSE IRA #2	A	Dividend	N	T					
82. -SPEC SITUATION LIFE SCIENCES FUND									
83. WELLS FARGO IRA	A	Dividend	J	T					
84. - MONEY MARKET									
85. - KAISER ALUMINUM (COMMON STOCK)									

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86. - KAISER ALUMINUM SENIOR NOTES DUE 02/15/02									
87. VANGUARD IRA #5	A	Dividend	M	T					
88. - VANGUARD MONEY MARKET									
89. - DOW CHEMICAL (COMMON STOCK)					Buy	10/03/12	L		
90. VANGUARD IRA #6	A	Dividend	J	T					
91. - VANGUARD DIVIDEND GROWTH FUND					Buy	09/12/12	J		
92. MASS MUTUAL LIFE INS	A	Dividend	K	W					
93. ING LIFE INS	C	Dividend	M	T					
94. PNC BANK WASH DC	A	Interest	K	T					
95. US BONDS	C	Interest	M	T					
96. J.J. GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
97. VIRGINIA RETIREMENT SYSTEM	A	Interest	J	T					
98.									

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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 [REDACTED] NOT SHOWN; DISTRIBUTIONS IN KIND REPORTED ON LINES 15 AND 20 AND 74 AND 43

3) VIRGINIA RETIREMENT SYSTEM LINE #97 - THIS ACCOUNT HAS BEEN OPEN SINCE 2006. IT WAS INADVERTANTLY OMMITTED FROM THE REPORT IN PRIOR YEARS. THE CODING WOULD HAVE BEEN THE SAME FOR EARLIER YEARS.

4) VANGUARD IRA #5 LINE 87 - ON THE 2011 REPORT (AND PRIOR YEARS) THIS ACCOUNT (THEN CASH ONLY) WAS INCLUDED ON LINE 63, VANGUARD MONEY MARKET, AS PART OF VANGUARD IRA #2, LINE 62. IN 2012 THIS IRA PURCHASED DOW CHEMICAL (COMMON STOCK) SO IT IS NOW LISTED SEPARATELY.

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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