

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/14/2019
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 01/01/2018 to 12/31/2018
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. 2018	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$414.00
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. 2018	NYU LAW SCHOOL - SALARY
2. 2018	WASHINGTON UNIVERSITY - HONORARIA - \$6,500
3. 2018	DOW JONES - STIPEND - \$200
4. 2018	TVA, INC. - CONSULTANT
5. 2018	GEORGE MASON UNIVERSITY - HONORARIA - \$500

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. WILLIAM C. CONNOR INN OF COURT	1/17/2018 - 1/18/2018	NEW YORK, NY	WILLIAM C. CONNOR INN OF COURT ANNUAL RECEPTION AND DINNER	TRANSPORTATION, LODGING, MEALS
2. AUSTIN IPLA	5/8/2018 - 5/10/2018	AUSTIN, TX	AUSTIN IPLA JUDGE'S APPRECIATION DINNER	TRANSPORTATION, LODGING & MEALS
3. FEDERAL CIRCUIT BAR ASSOCIATION CHARITABLE & EDUCATIONAL FUND	6/20/2018 - 6/22/2018	SAN DIEGO, CA	FEDERAL CIRCUIT BAR ASSOCIATION BENCH AND BAR CONFERENCE	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	A	Dividend	L	T					
3. MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Int./Div.	J	T					
4. SPECIAL SITUATION LIFE SCIENCES INNOVATION FUND		None	K	T	Buy	10/18/18	K		
5. JAPAN EQUITY FUND	A	Dividend	L	T					
6. BANK OF AMERICA (COMMON STOCK)	C	Dividend	M	T					
7. NUVEEN AMT FREE QUALITY MUNI INCOME FUND	C	Dividend	L	T					
8. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
9. NUVEEN MUNICIPAL VALUE FUND	A	Int./Div.			Sold	01/16/18	M	C	
10. NUVEEN AMT FREE MUNI CREDIT INCOME FUND (FKA NUVEEN MUNI OPP FUND)	D	Interest	M	T					
11. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	N	T					
12. VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
13. VANGUARD TAX EXEMPT MONEY MARKET FUND	A	Dividend	M	T	Sold (part)	01/18/18	M		
14. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	C	Dividend	M	T					
15. BB&T CORP (PREFERRED STOCK)	C	Dividend	K	T					
16. BANK OF CALIFORNIA (PREFERRED STOCK)	C	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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17. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	D	Dividend	M	T					
18. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
19. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
20. VANGUARD PRIME MONEY MARKET FUND	A	Interest	L	T	Buy	12/18/18	L		
21. TOTAL S.A. (COMMON STOCK)	D	Dividend	M	T					
22. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	L	T					
23. U.S. TREASURY NOTE 7/15/19	A	Interest	L	T	Buy	07/03/18	L		
24. PA ST MUNI BD	A	Interest	K	T					
25. LAWRENCE MA MUNI BD	A	Interest	K	T					
26. NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
27. ALTOONA WI MUNI BD	A	Interest	K	T					
28. GENERAL ELECTRIC (COMMON STOCK)	A	Dividend	K	T					
29. WASHINGTON STATE MUNI BD	A	Interest	K	T	Buy	10/10/18	K		
30. U.S. TREASURY BD STRIP	B	Interest	L	T	Buy	07/20/18	L		
31. INDIANAPOLIS IN THERMO SYSTEM MUNI BD	B	Interest			Matured	10/01/18	K		
32. TRI COUNTY METRO TRANSP DIST OR MUNI BD	A	Interest	K	T					
33. FEDERAL INSTITUTIONAL MONEY MARKET FUND	A	Interest	M	T					

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34. METROPOLITAN DC AIRPORT AUTHORITY MUNI BD	B	Interest	L	T	Buy	04/19/18	L		
35. JEFFERSON MORGAN SCHOOL DISTRICT MUNI BD	A	Interest	K	T	Buy	11/19/18	K		
36. LA PUBLIC FACILITIES BOND	A	Interest			Matured	12/19/18	J		
37. DEUTSCHE BK (COMMON STOCK)	A	Dividend	K	T					
38. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
39. VANGUARD IRA #4	E	Dividend	O	T					
40. -ISHARES MSCI JAPAN	B	Dividend	M	T					
41. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
42. -WESTERN ASSET HIGH INC OPP FUND (PKA WESTERN ASSET MNGD HIGH INC FD)	D	Dividend	L	T					
43. -WESTERN ASSET / CLAYMORE INFLATION LINKED OPP FUND	C	Dividend			Sold	08/21/18	M		
44. -FIDELITY JAPAN SMALL CO. FUND	B	Dividend	M	T					
45. -GLADSTONE COMM CORP FUND	C	Dividend	L	T					
46. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
47. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
48. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
49. -BLACKSTONE MORT TRUST	A	Dividend	J	T					

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50. -CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
51. -PEOPLES UNITED (COMMON STOCK)	B	Dividend	K	T					
52. -WISDOM TREE DYNAMIC BEARISH FUND	A	Dividend	L	T	Buy	10/03/18	M		
53. VANGUARD IRA - #1	E	Dividend	N	T					
54. -BANK OF AMERICA (COMMON STOCK)	B	Dividend	K	T					
55. -FIDELITY JAPAN SM CO FUND	B	Dividend	M	T					
56. -ENSCO (COMMON STOCK)	A	Dividend	J	T					
57. -WESTERN ASSET HIGH YIELD DEF OPP FUND	C	Dividend			Sold	06/21/18	M	C	
58. -ISHARES JAPAN INDEX FUND	B	Dividend	L	T					
59. -GENESIS ENERGY (COMMON STOCK)	A	Dividend	K	T	Buy	03/02/18	K		
60. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
61. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	K	T					
62. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
63. -LUMINENT (COMMON STOCK)		None	J	T					
64. -FRONTLINE (COMMON STOCK)		None	K	T					
65. -UNITED NATURAL FOODS (COMMON STOCK)	A	Dividend	K	T	Buy	10/22/18	L		
66. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	C	Dividend	K	T					

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67. VANGUARD IRA#2	E	Dividend	O	T					
68. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
69. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
70. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
71. -FIDELITY INV TRUST JAPAN SMALL CO FUND	C	Dividend	N	T					
72. -WISDOMTREE DYNAMIC BEARISH FUND		None	L	T	Buy	10/03/18	L		
73. -CITIGROUP (COMMON STOCK)	A	Dividend			Sold	06/08/18	J		
74. -WESTERN ASSET CLAYMORE INFLATION INCOME FUND		None			Sold	08/17/18	K		
75. -VALLEY NATIONAL BANK	C	Dividend	L	T					
76. -LUMINENT (COMMON STOCK)		None	J	T					
77. VANGUARD IRA #3	D	Dividend	N	T					
78. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
79. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
80. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
81. -DEUTSCHE BANK (COMMON STOCK)	A	Dividend	K	T					
82. -EXXONMOBILE (COMMON STOCK)	A	Dividend	L	T	Buy	12/18/18	L		
83. -AXALTA COATING (COMMON STOCK)		None	L	T	Buy	12/14/18	L		

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84. -BRIGHTHOUSE FINANCIAL		None	K	T					
85. -SUBURBAN PROPANE (COMMON STOCK)	C	Dividend	K	T					
86. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend			Sold	08/22/18	M	C	
87. -FAIR POINT COMMUNICATIONS (COMMON STOCK)		None	J	T					
88. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	B	Dividend	K	T					
89. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
90. TD AMERITRADE IRA #2	C	Dividend	O	T					
91. -CATHAY BANK CD	A	Interest	K	T	Buy	07/31/18	K		
92. -WELLS FARGO CD	B	Interest	L	T	Buy	07/27/18	L		
93. -U.S. TREASURY BILL	A	Interest			Buy	01/19/18	L		
94. -U.S. TREASURY BILL	A	Interest			Sold	07/19/18	L		
95. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	M	T	Distributed (part)	02/15/18	M	F	
96. -TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
97. -NORTHERN LIGHTS NORTH STAR DIVIDEND LIGHTS FUND	A	Dividend	J	T					
98. -ISHARES US PREFERRED STOCKS ETF	D	Dividend	M	T					
99. VANGUARD IRA #5	D	Dividend	M	T					
100. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	T					

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	(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)
101. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
102. -NUVEEN PREFERRED INCOME FUND	C	Dividend	L	T					
103. -WESTERN ASSET / CLAYMORE INFLATION LINKED OPPORT (COMMON STOCK)	A	Dividend			Sold	08/21/18	K		
104. -AXALTA COATING SYSTEM (COMMON STOCK)		None	K	T	Buy (add'l)	12/14/18	K		
105. -SUBURBAN PROPANE (COMMON STOCK)	C	Dividend	K	T					
106. -WESTERN ASSET HIGH YIELD DEF OPP FUND	A	Dividend			Sold	08/21/18	L	C	
107. NEW YORK UNIVERSITY 403(B) PLAN (NOW MANAGED BY TIAF)	C	Dividend	N	T					
108. -VANGUARD FEDERAL MONEY MARKET FUND	B	Dividend	M	T	Buy	03/01/18	M		
109. -VANGUARD FEDERAL MONEY MARKET FUND	B	Dividend	M	T	Buy	10/09/18	M		
110. -VANGUARD SH TERM INV GRADE BOND FUND	B	Dividend			Sold (part)	03/01/18	M		
111. -VANGUARD SH TERM INV GRADE BOND FUND	B	Dividend			Sold	10/09/18	K		
112. -VANGUARD INSTITUTION INDEX FUND	A	Dividend			Buy	03/01/18	L		
113. -VANGUARD INSTITUTION INDEX FUND	A	Dividend			Sold	10/09/18	L		
114. MASS MUTUAL LIFE INSURANCE	A	Dividend	K	W					
115. ING LIFE INSURANCE	C	Dividend	M	T					
116. PNC BANK WASHINGTON DC	A	Interest	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)
117. US BONDS	D	Interest	M	T					
118. J.J. GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
119. 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 \$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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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 107: 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
Administrative Office of the United States Courts
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Washington, D.C. 20544