

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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 09/18/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address 717 MADISON PLACE, N.W. WASHINGTON, DC 20439		
IMPORTANT NOTES: <i>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>		

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

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

PARTIES AND TERMS

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. 2019	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$416.00
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. 2019	NYU LAW SCHOOL - SALARY
2. 2019	WASHINGTON UNIVERSITY - HONORARIA - \$8,000
3. 2019	COMMON GOOD - HONORARIA - \$1,000
4. 2019	TVA, INC. - CONSULTANT
5. 2019	GEORGE MASON UNIVERSITY - HONORARIA - \$6,000

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	1/16/2019 - 1/17/2019	NEW YORK, NY	WILLIAM C. CONNOR INN OF COURT ANNUAL RECEPTION AND DINNER	TRANSPORTATION, LODGING, MEALS
2.	THE AMERICAN LAW INSTITUTE	3/7/2019 - 3/8/2019	PHILADELPHIA, PA	ALI ADVISERS MEETING	TRANSPORTATION, LODGING, MEALS
3.	FEDERAL CIRCUIT BAR ASSOCIATION CHARITABLE & EDUCATIONAL FUND	6/12/2019 - 6/14/2019	COLORADO SPRINGS, CO	FEDERAL CIRCUIT BAR ASSOCIATION BENCH AND BAR CONFERENCE	TRANSPORTATION, LODGING, MEALS

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4.	FEDERAL CIRCUIT BAR ASSOCIATION CHARITABLE & EDUCATIONAL FUND	10/14/2019 - 10/17/2019	HONOLULU, HI	FEDERAL CIRCUIT BAR ASSOCIATION GLOBAL SERIES	TRANSPORTATION, LODGING, MEALS
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.)

	<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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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.	K	T					
4. SPECIAL SITUATION LIFE SCIENCES INNOVATION FUND		None	M	T	Buy (add'l)	01/30/19	K		
5. SPECIAL SITUATION LIFE SCIENCES INNOVATION FUND		None	M	T	Buy (add'l)	10/11/19	K		
6. JAPAN EQUITY FUND	A	Dividend	L	T					
7. BANK OF AMERICA (COMMON STOCK)	D	Dividend	M	T					
8. NUVEEN AMT FREE QUALITY MUNI INCOME FUND	C	Dividend	M	T					
9. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
10. NUVEEN AMT FREE MUNI CREDIT INCOME FUND	C	Interest	M	T					
11. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	M	T					
12. VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
13. VANGUARD TAX EXEMPT MONEY MARKET FUND	B	Dividend	M	T					
14. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	C	Dividend	M	T					
15. TRUIST FIN. CORP. (PREFERRED STOCK) (FORMERLY BB&T CORP.)	C	Dividend	L	T					
16. BANK OF CALIFORNIA (PREFERRED STOCK)	C	Dividend	L	T					
17. WABTEC (COMMON STOCK)	A	Dividend	J	T	Spinoff (from line 32)	02/26/19	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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18. WABTEC (COMMON STOCK)	A	Dividend	J	T	Sold (part)	03/15/19	J	A	
19. UNITED NATURAL FOODS (COMMON STOCK)		None	K	T	Buy	12/20/19	K		
20. US TREASURY BILL (due 3/26/2020)	B	Dividend	M	T	Buy	04/15/19	M		
21. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	D	Dividend	N	T					
22. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
23. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
24. VANGUARD PRIME MONEY MARKET FUND	A	Interest	K	T					
25. TOTAL S.A. (COMMON STOCK)	D	Dividend	M	T					
26. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	L	T	Buy (add'l)	11/05/19	K		
27. U.S. TREASURY NOTE 7/15/19	A	Interest			Redeemed	07/15/19	L	A	
28. PA ST MUNI BD	A	Interest	K	T					
29. LAWRENCE MA MUNI BD	A	Interest	K	T					
30. NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
31. ALTONA WI MUNI BD	A	Interest	K	T					
32. GENERAL ELECTRIC (COMMON STOCK)	A	Dividend	L	T					
33. WASHINGTON STATE MUNI BD	A	Interest	K	T					
34. U.S. TREASURY BD STRIP	B	Interest	L	T					

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35. U.S.TREASURY NOTE (DUE 4/15/2020)	B	Interest	L	T	Buy	04/26/19	L		
36. TRI COUNTY METRO TRANP DIST OR MUNI BD	A	Interest			Matured	11/01/19	J		
37. FEDERATED INSTITUTIONAL MONEY MARKET FUND	A	Interest	L	T	Sold (part)	04/09/19	L		
38. METROPOLITAN DC AIRPORT AUTHORITY MUNI BD	B	Interest	L	T					
39. JEFFERSON MORGAN SCHOOL DISTRICT MUNI BD	A	Interest	K	T					
40. DEUTSCHE BK (COMMON STOCK)	A	Interest	K	T					
41. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
42. VANGUARD IRA #4 (H)									
43. -ISHARES MSCI JAPAN	B	Dividend	M	T					
44. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
45. -WESTERN ASSET HIGH INC OPP FUND	D	Dividend	L	T					
46. -FIDELITY JAPAN SMALL CO. FUND	A	Dividend	M	T					
47. -GLADSTONE COMM CORP FUND	C	Dividend	L	T					
48. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
49. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
50. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
51. -BLACKSTONE MORT TRUST	A	Dividend	J	T					

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52. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T	Buy	11/11/19	K		
53. -CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
54. PEOPLES UNITED (COMMON STOCK)	B	Dividend	L	T					
55. WISDOMTREE DYNAMIC BEARISH FUND		None	L	T					
56. VANGUARD IRA - #1 (H)									
57. -BANK OF AMERICA (COMMON STOCK)	B	Dividend	L	T					
58. -FIDELITY JAPAN SM CO FUND	A	Dividend	M	T					
59. -VALARIS (COMMON STOCK) (PREVIOUSLY ENSCO)	A	Dividend	J	T					
60. -CVS (COMMON STOCK)	A	Dividend			Buy	05/20/19	L		
61. -CVS (COMMON STOCK)	A	Dividend			Sold	12/04/19	L	E	
62. -ISHARES JAPAN INDEX FUND	B	Dividend	L	T					
63. -GENESIS ENERGY (COMMON STOCK)	A	Dividend	K	T					
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)		None	J	T					
68. -FRONTLINE (COMMON STOCK)		None			Sold	04/08/19	K	B	

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69. -UNITED NATURAL FOODS (COMMON STOCK)		None	K	T					
70. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	C	Dividend	K	T					
71. VANGUARD IRA #2 (H)									
72. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
73. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
74. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
75. -FIDELITY INV TRUST JAPAN SMALL CO FUND	C	Dividend	N	T					
76. -WISDOMTREE DYNAMIC BEARISH FUND		None	L	T					
77. -VALLEY NATIONAL BANK	C	Dividend	L	T					
78. -LUMINENT (COMMON STOCK)		None	J	T					
79. VANGUARD IRA #3 (H)									
80. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	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					
84. -EXXONMOBIL (COMMON STOCK)	C	Dividend	L	T					
85. -AXALTA COATING (COMMON STOCK)		None			Sold	09/23/19	L	E	

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86. -MERCURY GENERAL CORP. (COMMON STOCK)	A	Dividend	K	T	Buy	12/09/19	K		
87. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T	Buy	11/12/19	K		
88. -BRIGHTHOUSE FINANCIAL		None	K	T					
89. -SUBURBAN PROPANE (COMMON STOCK)	C	Distribution			Sold	09/25/19	K	A	
90. -GLADSTONE COMMERCIAL CORP. (COMMON STOCK)	B	Dividend	K	T					
91. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
92. TD AMERITRADE IRA #2 (H)									
93. -CATHAY BANK CD	B	Interest			Redeemed	07/31/19	K	A	
94. -WELLS FARGO CD	C	Interest	M	T					
95. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	N	T					
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 (H)			J						
100. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
101. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	L	T					
102. -EXXONMOBIL (COMMON STOCK)	C	Dividend	L	T	Buy	08/14/19	L		

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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)
103. -GLADSTONE COMMERCIAL (COMMON STOCK)	A	Dividend	K	T	Buy	11/13/19	K		
104. -BP PLC (COMMON STOCK)	B	Dividend	K	T	Buy	11/13/19	K		
105. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
106. -NUVEEN PREFERRED INCOME FUND	C	Dividend	L	T					
107. -NY COMMUNITY BK (COMMON STOCK)	C	Dividend	K	T	Buy	04/11/19	K		
108. -NY COMMUNITY BK (COMMON STOCK)	C	Dividend	K	T	Buy (add'l)	11/13/19	K		
109. -AXALTA COATING SYSTEM (COMMON STOCK)		None			Sold	09/23/19	L	C	
110. -SUBURBAN PROPANE (COMMON STOCK)	C	Dividend			Sold	09/25/19	K	A	
111. NEW YORK UNIVERSITY 403(B) PLAN (NOW MANAGED BY TIAF)	D	Dividend	N	T					
112. -VANGUARD FEDERAL MONEY MARKET FUND	B	Dividend			Sold	10/08/19	N		
113. -TIAA TRADITIONAL FUND	B	Dividend	N	T	Buy	10/08/19	N		
114. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend			Buy	01/03/19	J		
115. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend			Buy (add'l)	02/04/19	J		
116. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend			Buy (add'l)	03/04/19	J		
117. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend			Sold	10/08/19	K	A	
118. MASS MUTUAL LIFE INSURANCE (WHOLE)	A	Dividend	K	W					
119. ING LIFE INSURANCE (WHOLE)	C	Dividend	M	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. PNC BANK WASHINGTON DC	A	Interest	K	T					
121. US BONDS	D	Interest	M	T					
122. JJ GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
123. VIRGINIA RETIREMENT SYSTEM	A	Interest	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

09/18/2020

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. FAIR POINT COMMUNICATIONS PREVIOUSLY REPORTED (2018 REPORT LINE 87) IN VANGUARD IRA#3 HAS BEEN REMOVED BECAUSE IT IS NO LONGER REPORTED BY VANGUARD BECAUSE THE INVESTMENT IS WORTHLESS.
4. PART VII, LINE 111: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY.
5. 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 A PAYMENT OF PERSONAL EXPENSES AND EXCHANGES BETWEEN FUNDS NOT LISTED AS BEING IDENTICAL TO BANK ACCOUNT ACTIVITIES.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

09/18/2020

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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