

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/07/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 717 MADISON PLACE, N.W. WASHINGTON, DC 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. 2020	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$321.00
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. 2020	NYU LAW SCHOOL - SALARY
2. 2020	WASHINGTON UNIVERSITY - HONORARIA - \$1,500
3. 2020	TVA, 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. CONNER INN OF COURT	1/16/2020 to 1/17/2020	NEW YORK, NY	WILLIAM C. CONNER INN OF COURT ANNUAL RECEPTION AND DINNER	TRANSPORTATION, LODGING, MEALS
2.	WILLIAM C. CONNER INN OF COURT	2/12/2020 to 2/13/2020	NEW YORK, NY	WILLIAM C. CONNER INN OF COURT CLE PROGRAM AND DINNER	TRANSPORTATION, MEALS
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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) ((\$237,500)		None	M	S					
2. CARLYLE FUND	A	Dividend	L	T	Sold (part)	02/19/20	K	D	
3. MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Int./Div.	N	T	Buy (add'l)	05/15/20	M		
4. SPECIAL SITUATION LIFE SCIENCES INNOVATION FUND		None	M	T	Buy (add'l)	01/27/20	K		
5. JAPAN EQUITY FUND	A	Dividend	L	T	Sold (part)	06/09/20	K	D	
6. BANK OF AMERICA (COMMON STOCK)	D	Dividend	M	T					
7. NUVEEN AMT FREE QUALITY MUNI INCOME FUND	C	Dividend	M	T					
8. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
9. NUVEEN AMT FREE MUNI CREDIT INCOME FUND	D	Interest	M	T					
10. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	M	T					
11. VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	O	T	Buy (add'l)	03/19/20	K		
12. VANGUARD TAX EXEMPT MONEY MARKET FUND	A	Dividend	M	T					
13. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	C	Dividend			Sold	04/16/20	M		
14. TRUIST FIN. CORP. (PREFERRED STOCK)	C	Dividend	L	T					
15. BANK OF CALIFORNIA (PREFERRED STOCK)	C	Dividend	L	T					
16. WABTEC (COMMON STOCK)	A	Dividend			Sold	06/05/20	J		
17. UNITED NATURAL FOODS (COMMON STOCK)		None			Sold	05/12/20	K	E	

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

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18. US TREASURY BILL (due 3/26/2020)	A	Dividend			Matured	03/26/20	M		
19. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	C	Dividend			Sold	04/16/20	N	D	
20. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
21. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
22. VANGUARD PRIME MONEY MARKET FUND	A	Interest			Sold	03/19/20	K		
23. TOTAL S.A. (COMMON STOCK)	D	Dividend	L	T					
24. ATLAS AIR WORLDWIDE (COMMON STOCK)		None			Sold	05/07/20	L	D	
25. PA ST MUNI BD	A	Interest	K	T					
26. LAWRENCE MA MUNI BD	A	Interest	K	T					
27. NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
28. ALTONA WI MUNI BD	A	Interest			Matured	12/01/20	K	A	
29. GENERAL ELECTRIC (COMMON STOCK)	A	Dividend			Sold	01/10/20	K		
30. WASHINGTON STATE MUNI BD	A	Interest	K	T					
31. U.S. TREASURY BD STRIP	A	Interest			Matured	08/15/20	L		
32. U.S.TREASURY NOTE (DUE 4/15/2020)	A	Interest			Matured	04/15/20	L		
33. FEDERATED INSTITUTIONAL MONEY MARKET FUND	A	Interest			Sold	05/15/20	M		
34. METROPOLITAN DC AIRPORT AUTHORITY MUNI BD	A	Interest			Sold	10/01/20	K		

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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35. JEFFERSON MORGAN SCHOOL DISTRICT MUNI BD	A	Interest	K	T					
36. DEUTSCHE BK (COMMON STOCK)	A	Interest			Sold	06/05/20	K		
37. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
38. VANGUARD IRA #4 (H)									
39. -ISHARES MSCI JAPAN	A	Dividend			Sold	06/01/20	M		
40. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
41. -WESTERN ASSET HIGH INC OPP FUND	D	Dividend	L	T					
42. -FIDELITY JAPAN SMALL CO. FUND	B	Dividend	M	T					
43. -GLADSTONE COMM CORP FUND	B	Dividend			Sold	06/09/20	L	B	
44. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T	Buy (add'l)	09/11/20	J		
45. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend			Sold	09/11/20	J		
46. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
47. -BLACKSTONE MORT TRUST	A	Dividend	J	T					
48. -PIMCO STOCKPLUS SHORT (FUND)	B	Dividend	L	T	Buy	05/01/20	L		
49. -OCCIDENTAL PETROLEUM WARRANTS		None	J	T	Spinoff (from line 50)	08/03/20	J		
50. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T					
51. -CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					

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52. PEOPLES UNITED (COMMON STOCK)	B	Dividend	K	T					
53. WISDOMTREE DYNAMIC BEARISH FUND		None			Sold	01/03/20	L		
54. VANGUARD IRA - #1 (H)									
55. -BANK OF AMERICA (COMMON STOCK)	B	Dividend	L	T					
56. -FIDELITY JAPAN SM CO FUND	B	Dividend	M	T					
57. -VALARIS (COMMON STOCK) (PREVIOUSLY ENSCO)	A	Dividend	J	T					
58. -PIMCO STOCKPLUS (FUND)	A	Dividend	K	T	Buy	05/20/20	K		
59. -ISHARES JAPAN INDEX FUND	B	Dividend	L	T					
60. -GENESIS ENERGY (COMMON STOCK)	A	Dividend	J	T					
61. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T	Buy (add'l)	09/11/20	K		
62. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend			Sold	09/11/20	K		
63. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
64. -LUMINENT (COMMON STOCK)		None	J	T					
65. ROYCE MICROCAP FUND	A	Dividend			Buy	01/23/20	K		
66. ROYCE MICROCAP FUND	A	Dividend			Sold	06/09/20	K		
67. -UNITED NATURAL FOODS (COMMON STOCK)		None			Sold	05/12/20	K		
68. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	B	Dividend			Sold	06/09/20	K	C	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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69. VANGUARD IRA #2 (H)									
70. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
71. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend			Sold	09/11/20	J		
72. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	T	Buy (add'l)	09/11/20	J		
73. -FIDELITY INV TRUST JAPAN SMALL CO FUND	D	Dividend	N	T					
74. -WISDOMTREE DYNAMIC BEARISH FUND		None			Sold	01/03/20	L		
75. -VALLEY NATIONAL BANK	C	Dividend	L	T					
76. -LUMINENT (COMMON STOCK)		None	J	T					
77. VANGUARD IRA #3 (H)									
78. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T	Buy (add'l)	09/11/20	J		
79. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend			Sold	09/11/20	J		
80. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
81. -DEUTSCHE BANK (COMMON STOCK)	A	Dividend			Sold	06/05/20	K		
82. -EXXONMOBIL (COMMON STOCK)	A	Dividend			Sold	04/07/20	K		
83. -PIMCO STOCKPLUS SHORT (FUND)	B	Interest	M	T	Buy	04/28/20	L		
84. -PIMCO STOCKPLUS SHORT (FUND)	B	Interest	M	T	Buy (add'l)	05/11/20	L		
85. -CHEVRON (COMMON STOCK)		None			Buy	03/23/20	L		

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86. -CHEVRON (COMMON STOCK)					Sold	04/07/20	L	E	
87. -MERCURY GENERAL CORP. (COMMON STOCK)	A	Dividend			Sold	06/05/20	K		
88. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T					
89. -OCCIDENTAL PETROLEUM WARRANTS		None	J	T	Spinoff (from line 88)	08/03/20	J		
90. -BRIGHTHOUSE FINANCIAL		None	K	T					
91. -GLADSTONE COMMERCIAL CORP. (COMMON STOCK)	B	Dividend			Sold	06/05/20	K	B	
92. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
93. TD AMERITRADE IRA #2 (H)									
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	M	T					
97. -NORTHERN LIGHTS NORTH STAR DIVIDEND LIGHTS FUND	A	Dividend	J	T					
98. -ISHARES US PREFERRED STOCKS ETF	C	Dividend			Sold	06/05/20	M	B	
99. VANGUARD IRA #5 (H)									
100. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T	Buy (add'l)	09/11/20	L		
101. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend			Sold	09/11/20	L		
102. -EXXONMOBIL (COMMON STOCK)	A	Dividend			Sold	04/07/20	K		

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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)
103. -GLADSTONE COMMERCIAL (COMMON STOCK)	A	Dividend			Sold	06/05/20	K		
104. -BP PLC (COMMON STOCK)	B	Dividend	K	T					
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					
108. NEW YORK UNIVERSITY 403(B) PLAN (NOW MANAGED BY TIAA)	D	Dividend	N	T					
109. -TIAA TRADITIONAL FUND	D	Dividend	N	T					
110. MASS MUTUAL LIFE INSURANCE (WHOLE)	A	Dividend	K	W					
111. ING LIFE INSURANCE (WHOLE)	C	Dividend	M	T					
112. PNC BANK WASHINGTON DC	A	Interest	L	T					
113. US BONDS	D	Interest	M	T					
114. JJ GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
115. VIRGINIA RETIREMENT SYSTEM	A	Interest	J	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

DYK, TIMOTHY B.

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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 108: 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. THE SAME APPLIES FOR THE TD AMERITRADE INSURED DEPOSIT ACCOUNT. 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.

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

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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