

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>DYK, TIMOTHY B.                                                                                                                      | <b>2. Court or Organization</b><br><br>FEDERAL CIRCUIT                                                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>05/12/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. CIRCUIT JUDGE - ACTIVE                                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>717 MADISON PLACE, N.W.<br>WASHINGTON, D.C. 20439                                                                                                             |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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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Name of Person Reporting

DYK, TIMOTHY B.

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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><br>(yours, not spouse's) |
|-------------|-----------------------------------------------------|----------------------------------------|
| 1. 2013     | UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY) | \$262.00                               |
| 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. 2013     | NYU LAW SCHOOL - SALARY                   |
| 2. 2013     | STATE OF MARYLAND - HONORARIA \$1,500     |
| 3. 2013     | WASHINGTON UNIVERSITY - HONORARIA \$6,000 |
| 4. 2013     | PODESTA GROUP INC - CONSULTANT            |

**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. SMU DEDMAN SCHOOL OF LAW        | 03/21 - 03/22/2013 | DALLAS, TX           | EDUCATIONAL PROGRAM                                                      | TRANSPORTATION, LODGING, MEALS |
| 2. HARVARD LAW SCHOOL              | 04/11 - 04/12/2013 | CAMBRIDGE, MA        | FACULTY DINNER, HLS IP CONFERENCE                                        | TRANSPORTATION, LODGING, MEALS |
| 3. FEDERAL CIRCUIT BAR ASSOCIATION | 06/19 - 06/21/2013 | COLORADO SPRINGS, CO | FCBA 15TH ANNUAL BENCH & BAR CONFERENCE                                  | TRANSPORTATION, LODGING, MEALS |
| 4. FEDERAL CIRCUIT BAR ASSOCIATION | 10/31 - 11/01/2013 | PLANO, TX            | APPELLATE JUDGES' PANEL EASTERN DISTRICT OF TEXAS BENCH & BAR CONFERENCE | TRANSPORTATION, LODGING, MEALS |

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|--------------------------|----------------|
| DYK, TIMOTHY B.          | 05/12/2014     |

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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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                     |   |           |    |   |                           |          |   |   |  |
|-----------------------------------------------------|---|-----------|----|---|---------------------------|----------|---|---|--|
| 1. LOT - TRURO, MA (PARCEL 1)<br>(\$227,300)        |   | None      | N  | S |                           |          |   |   |  |
| 2. CARLYLE FUND                                     | D | Dividend  | N  | T |                           |          |   |   |  |
| 3. MORGAN STANLEY ( PREVIOUSLY<br>CITIBANK BK DPT ) | A | Interest  | L  | T |                           |          |   |   |  |
| 4. 1 SHARES NEW YORK MUNI BOND<br>FUND              | C | Interest  | M  | T |                           |          |   |   |  |
| 5. FIRST NIAGRA FINANCIAL (COMMON<br>STOCK)         | A | Dividend  | J  | T |                           |          |   |   |  |
| 6. JAPAN EQUITY FUND                                | B | Dividend  | L  | T |                           |          |   |   |  |
| 7. APACHE (COMMON STOCK)                            | A | Dividend  |    |   | Sold                      | 09/20/13 | L | D |  |
| 8. DEUTCHE TELECOM (COMMON<br>STOCK)                | C | Dividend  | L  | T |                           |          |   |   |  |
| 9. BANK OF AMERICA (COMMON<br>STOCK)                | A | Dividend  | L  | T |                           |          |   |   |  |
| 10. DEVON ENERGY CORP (COMMON<br>STOCK)             | A | Dividend  |    |   | Sold                      | 09/18/13 | M | E |  |
| 11. LEUCADIA NATL CORP (COMMON<br>STOCK)            | A | Dividend  | L  | T |                           |          |   |   |  |
| 12. CRIMSON WINE GROUP (COMMON<br>STOCK)            |   | None      | J  | T | Spinoff<br>(from line 11) | 02/25/13 | J |   |  |
| 13. OCCIDENTAL PETROLIUM (COMMON<br>STOCK)          | A | Dividend  |    |   | Sold                      | 09/16/13 | L | D |  |
| 14. NUVEEN MUNICPAL VALUE FUND                      | D | Int./Div. | N  | T | Buy<br>(add'l)            | 12/27/13 | L |   |  |
| 15. NUVEEN MUNICPAL OPP FUND                        | C | Interest  | L  | T |                           |          |   |   |  |
| 16. ROYAL DUTCH SHELL (COMMON<br>STOCK)             | D | Dividend  | M  | T | Buy<br>(add'l)            | 03/11/13 | L |   |  |
| 17. VANGUARD MONEY MARKET FUND<br>T/E               | C | Dividend  | P1 | T |                           |          |   |   |  |

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

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. NY COMM BK CORP (COMMON STOCK)                                                                                          | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. RYDEX INVERSE GOV'T LONG BOND FUND                                                                                      |                                         | None                                          | L                                               | T                                         | Buy                                             | 02/12/13                | K                               |                                |                                                                   |
| 20. WESTERN INTERMEDIATE MUNI FUND                                                                                          | A                                       | Interest                                      | M                                               | T                                         | Buy                                             | 10/28/13                | L                               |                                |                                                                   |
| 21.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/31/13                | L                               |                                |                                                                   |
| 22. FORD MOTOR CO (COMMON STOCK)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 06/25/13                | J                               |                                |                                                                   |
| 23. NUVEEN SELECT TAX FREE INCOME FUND                                                                                      | B                                       | Interest                                      | L                                               | T                                         | Buy                                             | 06/03/13                | L                               |                                |                                                                   |
| 24. FREEPORT McMORAN COPPER & GOLD (COMMON STOCK)                                                                           | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 07/22/13                | L                               |                                |                                                                   |
| 25.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/04/13                | L                               | E                              |                                                                   |
| 26. ISHARES MSCI TURKEY (COMMON STOCK)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 07/15/13                | L                               |                                |                                                                   |
| 27.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 10/22/13                | L                               | A                              |                                                                   |
| 28. PIMCO TOTAL RETURN                                                                                                      |                                         | None                                          |                                                 |                                           | Buy                                             | 01/07/13                | L                               |                                |                                                                   |
| 29.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 05/29/13                | L                               |                                |                                                                   |
| 30. I-SHARES US PREFERRED STOCK INDEX                                                                                       | D                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/16/13                | L                               |                                |                                                                   |
| 31. NORTHWEST BANK SHARES (COMMON STOCK)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/11/13                | K                               | C                              |                                                                   |
| 32. ABB LIMITED (COMMON STOCK)                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. GENERAL MOTORS (COMMON STOCK)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 05/02/13                | K                               | D                              |                                                                   |
| 34.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 05/21/13                | L                               | E                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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|                                              |   |          |   |   |             |          |   |   |  |
|----------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. TOTAL S.A. (COMMON STOCK)                | D | Dividend | M | T |             |          |   |   |  |
| 36. NORTHWEST BIOTHERAPUTICS (COMMON STOCK)  |   | None     | K | T | Sold (part) | 09/10/13 | K |   |  |
| 37.                                          |   |          |   |   | Sold (part) | 05/13/13 | J |   |  |
| 38. ATLAS AIR WORLDWIDE (COMMON STOCK)       |   | None     | J | T |             |          |   |   |  |
| 39. ASTORIA FINANCIAL (COMMON STOCK)         | A | Dividend | J | T |             |          |   |   |  |
| 40. HARRIS INTERACTIVE INC (COMMON STOCK)    |   | None     |   |   | Sold        | 09/23/13 | J |   |  |
| 41. OSI SYSTEMS INC (COMMON STOCK)           |   | None     |   |   | Sold        | 11/12/13 | K | E |  |
| 42. POWERWAVE TECH INC (COMMON STOCK)        |   | None     |   |   | Sold        | 11/25/13 | J |   |  |
| 43. SIRONA DENTAL SYSTEMS INC (COMMON STOCK) |   | None     |   |   | Sold        | 11/11/13 | K | E |  |
| 44. TETRATECH INC (COMMON STOCK)             |   | None     |   |   | Sold        | 11/11/13 | J | C |  |
| 45. UNITED NATURAL FOODS (COMMON STOCK)      |   | None     |   |   | Sold        | 08/06/13 | K | D |  |
| 46. WATTS WATER TECH (COMMON STOCK)          | A | Dividend |   |   | Sold        | 11/11/13 | K | D |  |
| 47. NUVEEN SELECT MATURITY (MUNICIPAL FUND)  | A | Interest | J | T |             |          |   |   |  |
| 48. VANGUARD IRA #4                          | D | Dividend | O | T |             |          |   |   |  |
| 49. - I SHARES MSCI JAPAN                    |   |          |   |   |             |          |   |   |  |
| 50. -LEUCADIA NATIONAL CORP (COMMON STOCK)   |   |          |   |   |             |          |   |   |  |
| 51. - ABB LTD (COMMON STOCK)                 |   |          |   |   |             |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - BANK OF CALIFORNIA (COMMON STOCK) (FORMERLY FIRST PACIFIC BANCORP)                                                    |                                         |                                               |                                                 |                                           | Buy                                             | 03/04/13                | K                               |                                |                                                                   |
| 53. - FIDELITY JAPAN SMALL CO. FUND                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 54. -VANGUARD MONEY MARKET                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. - GENERAL ELECTRIC CO (COMMON STOCK)                                                                                    |                                         |                                               |                                                 |                                           | Sold                                            | 11/07/13                | M                               |                                |                                                                   |
| 56. - RYDEX INV GOV'T LONG BOND                                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 04/08/13                | K                               |                                |                                                                   |
| 57. - NY TIMES CO (COMMON STOCK)                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 58. - KINDERMORGAN ENERGY PARTNERS (COMMON STOCK)                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 12/09/13                | L                               |                                |                                                                   |
| 59. - BLACKSTONE MORT TRUST (PREVIOUSLY CAPITAL TRUST INC) (COMMON STOCK)                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. - DOW CHEMICAL BOND DUE 05/15/14                                                                                        |                                         |                                               |                                                 |                                           | Redeemed                                        | 03/25/13                | K                               | B                              |                                                                   |
| 61. - CRIMSON WINE GROUP (COMMON STOCK)                                                                                     |                                         |                                               |                                                 |                                           | Spinoff<br>(from line 50)                       | 02/25/13                | J                               |                                |                                                                   |
| 62. - PEOPLES UNITED (COMMON STOCK)                                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 01/10/13                | K                               |                                |                                                                   |
| 63. VANGUARD IRA - #1                                                                                                       | E                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. - VANGUARD HIGH YIELD CORP FUND                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 01/09/13                | L                               | C                              |                                                                   |
| 65. - BANK OF AMERICA (COMMON STOCK)                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 66. - FIDELITY JAPAN SM CO FUND                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 67. - RYDEX INVERSE GOV'T LONG BOND FUND                                                                                    |                                         |                                               |                                                 |                                           | Buy                                             | 01/31/13                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 68. - I SHARES JAPAN INDEX FUND                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 69. - I-SHARES PREFERRED STOCK INDEX                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 09/16/13                | K                               |                                |                                                                   |
| 70. - THIRD AVE FOCUSED CREDIT FUND                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 71. - N Y TIMES (COMMON STOCK)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 72. - MORGAN STANLEY SENIOR NOTES                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 73. - VANGUARD MONEY MARKET                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 74. -LUMINENT (COMMON STOCK)                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 75. - GLADSTONE COMMERCIAL CORP.<br>(COMMON STOCK)                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 12/13/13                | K                               |                                |                                                                   |
| 76. VANGUARD IRA #2                                                                                                         | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. -VANGUARD MONEY MARKET                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 78. - FIDELITY INV TRUST JAPAN SMALL<br>CO FUND                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 79. - DEUTCHE TELECOM (COMMON<br>STOCK)                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. - CITIGROUP (COMMON STOCK)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 81. - VALLEY NATIONAL BANK<br>(COMMON STOCK)                                                                                |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/25/13                | K                               |                                |                                                                   |
| 82. -LUMINENT (COMMON STOCK)                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 83. - TETRA TECH CO (COMMON STOCK)                                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 05/13/13                | K                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/11/13                | L                               | E                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/12/2014

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 85. - FORD MOTOR CO (COMMON STOCK)                                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 06/25/13                | J                               |                                |                                                                   |
| 86. - N Y TIMES (COMMON STOCK)                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 87. VANGUARD IRA # 3                                                                                                        | E                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. - VANGUARD MONEY MARKET                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 89. - I SHARES S&P PREFERRED STOCK<br>INDEX FUND                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 09/23/13                | K                               |                                |                                                                   |
| 90. - THIRD AVE FOCUS CREDIT FUND                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 91. - CONOCO PHILLIPS (COMMON<br>STOCK)                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 92. - FAIR POINT COMMUNICATIONS<br>(COMMON STOCK)                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 93. - GLADSTONE COMMERCIAL CORP<br>(COMMON STOCK)                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 12/13/13                | K                               |                                |                                                                   |
| 94. - PHILLIPS 66 (COMMON STOCK)                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 11/29/13                | K                               | E                              |                                                                   |
| 95. TD AMERITRADE IRA #1 (CASH)<br>(PREVIOUSLY TD WATERHOUSE)                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 96. TD AMERITRADE IRA #2<br>(PREVIOUSLY TD WATERHOUSE)                                                                      | A                                       | Dividend                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 97. -SPEC SITUATION LIFE SCIENCES<br>FUND                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 98. - MONEY MARKET                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 99. WELLS FARGO IRA                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 100. - MONEY MARKET                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 101. - KAISER ALUMINUM (COMMON<br>STOCK)                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/12/2014

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                     |   |              |   |   |      |          |   |   |  |
|-----------------------------------------------------|---|--------------|---|---|------|----------|---|---|--|
| 102. - KAISER ALUMINUM SENIOR NOTES<br>DUE 02/15/02 |   |              |   |   |      |          |   |   |  |
| 103. VANGUARD IRA #5                                | A | Dividend     | M | T |      |          |   |   |  |
| 104. - VANGUARD MONEY MARKET                        |   |              |   |   |      |          |   |   |  |
| 105. - PIMCO TOTAL RETURN                           |   |              |   |   | Buy  | 01/07/13 | K |   |  |
| 106.                                                |   |              |   |   | Sold | 05/29/13 | K |   |  |
| 107. - DOW CHEMICAL (COMMON STOCK)                  |   |              |   |   | Sold | 08/05/13 | L | D |  |
| 108. -ALLEGHENY TECHNOLOGIES INC<br>(COMMON STOCK)  |   |              |   |   | Buy  | 06/14/13 | L |   |  |
| 109. VANGUARD IRA #6                                | A | Dividend     | K | T |      |          |   |   |  |
| 110. - VANGUARD DIVIDEND GROWTH<br>FUND             |   |              |   |   |      |          |   |   |  |
| 111. MASS MUTUAL LIFE INS                           | A | Dividend     | K | W |      |          |   |   |  |
| 112. ING LIFE INS                                   | C | Dividend     | M | T |      |          |   |   |  |
| 113. PNC BANK WASH DC                               | A | Interest     | K | T |      |          |   |   |  |
| 114. US BONDS                                       | C | Interest     | M | T |      |          |   |   |  |
| 115. J.J. GUMBERG LIMITED PARTNERSHIP               | D | Distribution | J | W |      |          |   |   |  |
| 116. VIRGINIA RETIREMENT SYSTEM                     | A | Interest     | J | T |      |          |   |   |  |
| 117.                                                |   |              |   |   |      |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/12/2014

## 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 (RMD) NOT SHOWN.

3) PART VII, LINE # 3. THIS ACCOUNT IS ASSOCIATED WITH LINE #2 CARLYLE FUND. THIS ACCOUNT IS CURRENTLY MANAGED BY MORGAN STANLEY. THE ACCOUNT HAD BEEN MANAGED BY CITIBANK BK DPT.

4) PART VII, LINE 4. THIS ACCOUNT WAS INCORRECTLY TITLED 1 SHARES S&P NEW YORK BOND FUND IN 2012. THE CORRECT NAME IS 1 SHARES NEW YORK MUNI BOND FUND. (NAME CORRECTION)

5) PART VII, LINES 108, & 109. PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (VANGUARD IRA #6 -VANGUARD DIVIDEND GROWTH FUND) ARE NOT REPORTED AS A SEPERATE BUY.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DYK, TIMOTHY B.

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05/12/2014

## 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