

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 717 MADISON PLACE, N.W. WASHINGTON, D.C. 20439		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	JUDICIAL COUNSELOR	GILES RICH INN OF COURT
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/23/2019

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	\$327.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1. 2017	NYU LAW SCHOOL - SALARY
2. 2017	WASHINGTON UNIVERSITY - HONORARIA - \$4,250
3. 2017	PODESTA GROUP INC. - CONSULTANT
4. 2017	TVA, INC. - CONSULTANT
5. 2017	GEORGE MASON UNIVERSITY - HONORARIA - \$2,000

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. WILLIAM C. CONNOR INN OF COURT	1/18/2017 - 1/19/2017	NEW YORK, NY	WILLIAM C. CONNOR INN OF COURT ANNUAL RECEPTION AND DINNER	TRANSPORTATION, LODGING, MEALS
2. THE AMERICAN LAW INSTITUTE	12/6/2017 - 12/7/2017	PHILADELPHIA, PA	ALI ADVISORS MEETING	TRANSPORTATION, LODGING & MEALS
3.				
4.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/23/2019

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

DYK, TIMOTHY B.

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05/23/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/23/2019

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

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. LOT - TRURO, MA (PARCEL 1) (\$235,100)		None	M	S					
2. CARLYLE FUND	A	Dividend	N	T					
3. MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Int./Div.	K	T					
4. KEY CORP (FKA FIRST NIAGRA FINANCIAL) (COMMON STOCK)	A	Dividend			Sold	02/27/17	J	B	
5. JAPAN EQUITY FUND	A	Dividend	L	T					
6. BANK OF AMERICA (COMMON STOCK)	C	Dividend	M	T					
7. NUVEEN AMT FREE QUALITY MUNI INCME FUND (FKA NUVEEN MUNI MKT OPP FUND)	C	Dividend	L	T					
8. CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
9. NUVEEN MUNICIPAL VALUE FUND	D	Int./Div.	M	T	Sold (part)	04/07/17	L	D	
10. NUVEEN AMT FREE MUNI CREDIT INCOME FUND (FKA NUVEEN MUNI OPP FUND)	D	Interest	M	T					
11. ROYAL DUTCH SHELL (COMMON STOCK)	D	Dividend	N	T					
12. VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
13. VANGUARD TAX EXEMPT MONEY MARKET FUND	A	Dividend	M	T					
14. VANGUARD LTD-TERM TAX EXEMPT ADMIRAL FUND	C	Dividend	M	T					
15. BB&T CORP (PREFERRED STOCK)	C	Dividend	L	T					
16. BANK OF CALIFORNIA (PREFERRED STOCK)	C	Dividend	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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17. VANGUARD INTERMEDIATE TERM T/ E ADMIRAL FUND	D	Dividend	M	T					
18. NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
19. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
20. NUVEEN SELECT TAX FREE INCOME FUND	B	Interest			Sold	04/20/17	L	D	
21. TOTAL S.A. (COMMON STOCK)	C	Dividend	L	T					
22. ATLAS AIR WORLDWIDE (COMMON STOCK)		None	L	T					
23. ASTORIA FINANCIAL (COMMON STOCK)	A	Dividend			Sold	02/27/17	J	D	
24. PA ST MUNI BD	A	Interest	K	T					
25. LAWRENCE MA MUNI BD	A	Interest	K	T					
26. NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
27. ALTOONA WI MUNI BD	A	Interest	K	T					
28. GENERAL ELECTRIC (COMMON STOCK)	B	Dividend	M	T	Buy	09/15/17	K		
29. GENERAL ELECTRIC (COMMON STOCK)	B	Dividend	M	T	Buy	09/13/17	K		
30. GENERAL ELECTRIC (COMMON STOCK)	B	Dividend	M	T	Buy	10/17/17	K		
31. INDIANAPOLIS IN THERMO SYSTEM MUNI BD	B	Interest	K	T					
32. TRI COUNTY METRO TRANSP DIST OR MUNI BD	B	Interest	K	T					
33. FEDERAL INSTITUTIONAL MONEY MARKET FUND	A	Interest	N	T	Buy	11/22/17	N		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

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34. LA PUBLIC FACILITIES BOND	A	Interest	J	T	Buy	01/11/17	J		
35. DEUTSCHE BK (COMMON STOCK)	C	Dividend	L	T					
36. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
37. VANGUARD IRA #4	E	Dividend	O	T					
38. -ISHARES MSCI JAPAN	B	Dividend	M	T					
39. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
40. -WESTERN ASSET HIGH INC OPP FUND (PKA WESTERN ASSET MNGD HIGH INC FD)	D	Dividend	L	T					
41. -WESTERN ASSET / CLAYMORE INFLATION LINKED OPP FUND	C	Dividend	M	T					
42. -FIDELITY JAPAN SMALL CO. FUND	B	Dividend	M	T					
43. -GLADSTONE COMM CORP FUND	C	Dividend	L	T					
44. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
45. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
46. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
47. -BLACKSTONE MORT TRUST (COMMON STOCK)	A	Dividend	J	T					
48. -CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
49. -PEOPLES UNITED (COMMON STOCK)	B	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

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50. VANGUARD IRA - #1	E	Dividend	O	T					
51. -BANK OF AMERICA (COMMON STOCK)	A	Dividend	L	T					
52. -FIDELITY JAPAN SM CO FUND	B	Dividend	M	T					
53. -ENSCO (COMMON STOCK)	A	Dividend	K	T	Buy (add'l)	02/15/17	K		
54. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	M	T	Sold (part)	02/17/17	M	D	
55. -ISHARES JAPAN INDEX FUND	B	Dividend	L	T					
56. -ISHARES MSCI MEXICO ETF	A	Dividend			Sold	01/25/17	K		
57. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
58. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	M	T					
59. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
60. -LUMINENT (COMMON STOCK)		None	J	T					
61. -FRONTLINE (COMMON STOCK)	B	Dividend	K	T	Buy	06/29/17	K		
62. -ISHARES - MSCI HONG KONG	A	Dividend			Buy	02/17/17	K		
63. -ISHARES - MSCI HONG KONG	A	Dividend			Sold	07/26/17	K	C	
64. -OCCIDENTAL PETROL	A	Dividend			Buy	03/01/17	L		
65. -OCCIDENTAL PETROL	A	Dividend			Sold	10/31/17	L	A	
66. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	C	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

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05/23/2019

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67. VANGUARD IRA#2	E	Dividend	O	T					
68. -CITIGROUP (COMMON STOCK)	A	Dividend	J	T					
69. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
70. -VANGUARD PRIME MONEY MARKET FUND	A	Dividend	J	T					
71. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	T					
72. -FIDELITY INV TRUST JAPAN SMALL CO FUND	C	Dividend	N	T					
73. -OCCIDENTAL PETROL (COMMON STOCK)	A	Dividend			Buy	03/14/17	K		
74. -OCCIDENTAL PETROL (COMMON STOCK)	A	Dividend			Sold	10/31/17	K	A	
75. -WESTERN ASSET CLAYMORE INFLATION INCOME FUND	A	Dividend	K	T	Buy	06/22/17	K		
76. -VALLEY NATIONAL STOCK (COMMON STOCK)	C	Dividend	L	T					
77. -LUMINENT (COMMON STOCK)		None	J	T					
78. -DEUTSCHE HIGH INCOME OPPORTUNITIES FUND	B	Dividend			Sold	06/19/17	K	B	
79. VANGUARD IRA #3	E	Dividend	N	T					
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)	C	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

Name of Person Reporting

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84. -POWERSHARES KBW BANK ETF	A	Dividend			Sold	01/11/17	K	D	
85. -BRIGHTHOUSE FINANCIAL		None	L	T	Buy	07/27/17	L		
86. -SUBURBAN PROPANE (COMMON STOCK)	B	Dividend	K	T	Buy	06/02/17	K		
87. -ROYCE VALUE TRUST FUND	A	Dividend			Sold	04/07/17	L	D	
88. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	M	T					
89. -CONOCO PHILLIPS (COMMON STOCK)	A	Dividend			Sold	10/25/17	L		
90. -FAIR POINT COMMUNICATIONS (COMMON STOCK)		None	J	T					
91. -GLADSTONE COMMERCIAL CORP (COMMON STOCK)	B	Dividend	K	T					
92. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
93. TD AMERITRADE IRA #2	A	Dividend	O	T					
94. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	N	T					
95. -TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	L	T					
96. -NORTHERN LIGHTS NORTH STAR DIVIDEND LIGHTS FUND	A	Dividend	J	T					
97. -ISHARES US PREFERRED STOCKS ETF	A	Dividend	M	T	Buy	10/30/17	M		
98. WELLS FARGO IRA	A	Dividend			Distributed	10/10/17	J		
99. -WELLS FARGO BANK ACCOUNT	A	Dividend			Distributed	10/10/17	J		
100. -KAISER ALUMINUM (COMMON STOCK)	A	Dividend			Sold	09/21/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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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) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
101. -KAISER ALUMINUM SENIOR NOTES DUE 02/15/02		None			Expired	10/10/17	J		
102. VANGUARD IRA #5	E	Dividend	N	T					
103. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
104. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
105. -NUVEEN PREFERRED INCOME FUND	C	Dividend	L	T	Buy	01/09/17	L		
106. -WESTERN ASSET / CLAYMORE INFLATION LINKED OPPORT (COMMON STOCK)	A	Dividend	K	T	Buy	06/22/17	K		
107. -AXALTA COATING SYSTEM (COMMON STOCK)		None	K	T	Buy	03/02/17	K		
108. -SUBURBAN PROPANE (COMMON STOCK)	B	Dividend	K	T	Buy	06/02/17	K		
109. -WESTERN ASSET HIGH YIELD DEF OPP FUND	D	Dividend	L	T	Sold (part)	02/17/17	L	D	
110. NEW YORK UNIVERSITY 403(B) PLAN	C	Dividend	M	T					
111. -VANGUARD DIVIDEND GROWTH FUND	A	Dividend			Sold	09/15/17	K	A	
112. -VANGUARD SH TERM INV GRADE BOND FUND	A	Dividend	M	T	Buy (add'l)	09/15/17	K		
113. MASS MUTUAL LIFE INSURANCE	A	Dividend	K	W					
114. ING LIFE INSURANCE	C	Dividend	M	T					
115. PNC BANK WASHINGTON DC	A	Interest	K	T					
116. US BONDS	D	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/23/2019

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

☐ NONE (No reportable income, assets, or transactions.)

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

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

DYK, TIMOTHY B.

Date of Report

05/23/2019

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 110: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY.
4. THE VANGUARD FEDERAL MONEY MARKET FUND IS AN SEC-MANDATED SETTLEMENT FUND FOR SECURITIES TRANSACTIONS. PURCHASES AND SALES OF SECURITIES DISCLOSED IN THIS REPORT AUTOMATICALLY RESULTED IN CORRESPONDING SALES AND PURCHASES IN THE FUND. MONEY MARKET TRANSACTIONS INVOLVING DEPOSITS OF EMPLOYMENT COMPENSATION OR PAYMENT OF PERSONAL EXPENSES AND EXCHANGES BETWEEN FUNDS NOT LISTED AS BEING IDENTICAL TO BANK ACCOUNT ACTIVITIES.

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting	Date of Report
DYK, TIMOTHY B.	05/23/2019

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