AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
DYK, TIMOTHY B.	FEDERAL CIRCUIT	04/26/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. CIRCUIT JUDGE - ACTIVE	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

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

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	$277.00
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
1.	2021	NYU LAW SCHOOL - SALARY
2.	2021	WASHINGTON UNIVERSITY - HONORARIA - $4,500
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
DYK, TIMOTHY B.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A		B		C		D				
Description of Assets (including trust assets)		Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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)	
1.	LOT - TRURO, MA (PARCEL 1) ($237,500)		None	M	S					
2.	CARLYLE FUND	A	Dividend	L	T					
3.	MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Int./Div.	N	T					
4.	SPECIAL SITUATIONS LIFE SCIENCES INNOVATION FUND		None	M	T					
5.	SPECIAL SITUATIONS LIFE SCIENCE FUND II		None	K	T	Buy	05/14/21	K		
6.	JAPAN EQUITY FUND	A	Dividend	L	T					
7.	BANK OF AMERICA (COMMON STOCK)	D	Dividend	N	T					
8.	NUVEEN AMT FREE QUALITY MUNI INCOME FUND	C	Dividend	M	T					
9.	CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
10.	NUVEEN AMT FREE MUNI CREDIT INCOME FUND	D	Interest	M	T					
11.	SHELL (COMMON STOCK) (PREVIOUSLY ROYAL DUTCH SHELL)	C	Dividend	M	T					
12.	VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	O	T					
13.	VANGUARD TAX EXEMPT MONEY MARKET FUND	A	Dividend	M	T					
14.	TRUIST FIN. CORP. (PREFERRED STOCK)	B	Dividend			Redeemed	06/01/21	L	C	
15.	BANK OF CALIFORNIA (PREFERRED STOCK)	C	Dividend	L	T					
16.	XEROX HOLDINGS (COMMON STOCK)	B	Dividend	L	T	Buy	10/05/21	L		
17.	NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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DYK, TIMOTHY B.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

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

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
18. WESTERN INTERMEDIATE MUNI FUND	D	Interest	M	T					
19. INFUSYSTEM HOLDINGS (COMMON STOCK)		None	L	T	Buy	12/07/21	L		
20. TOTAL S.A. (COMMON STOCK)	D	Dividend	M	T					
21. PA ST MUNI BD	A	Interest	K	T					
22. LAWRENCE MA MUNI BD	A	Interest	K	T					
23. NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
24. WASHINGTON STATE MUNI BD	A	Interest	K	T					
25. NORTHWEST BANK SHARES	B	Dividend	L	T	Buy	09/27/21	L		
26. OGE ENERGY (COMMON STOCK)	B	Dividend	L	T	Buy	09/23/21	L		
27. JEFFERSON MORGAN SCHOOL DISTRICT MUNI BD	A	Interest			Matured	10/01/21	K	B	
28. NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
29. VANGUARD IRA #4 (H)									
30. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
31. -WESTERN ASSET HIGH INC OPP FUND	D	Dividend	L	T					
32. -FIDELITY JAPAN SMALL CO. FUND	B	Dividend	M	T					
33. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T					
34. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
35. -BLACKSTONE MORT TRUST	A	Dividend	J	T					
36. -PIMCO STOCKPLUS SHORT (FUND)	B	Dividend	L	T					
37. -OCCIDENTAL PETROLEUM WARRANTS		None	J	T					
38. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T					
39. -CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
40. -PEOPLES UNITED (COMMON STOCK)	B	Dividend	L	T					
41. VANGUARD IRA - #1 (H)									
42. -BANK OF AMERICA (COMMON STOCK)	B	Dividend	L	T					
43. -FIDELITY JAPAN SM CO FUND	B	Dividend	M	T					
44. -VALARIS (COMMON STOCK) WTS		None	J	T					
45. -PIMCO STOCKPLUS (FUND)	A	Dividend	K	T					
46. -GENESIS ENERGY (COMMON STOCK)	A	Dividend	J	T					
47. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T					
48. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
49. VANGUARD IRA #2 (H)									
50. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
51. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					

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52. -FIDELITY INV TRUST JAPAN SMALL CO FUND	C	Dividend	N	T					
53. -VALLEY NATIONAL BANK	C	Dividend	L	T					
54. -WESTERN ASSET HIGH INCOME FUND	C	Dividend	L	T	Buy	01/21/21	L		
55. VANGUARD IRA #3 (H)									
56. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	L	T					
57. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
58. -PIMCO STOCKPLUS SHORT (FUND)	C	Interest	M	T					
59. -SUBARU (COMMON STOCK)	B	Dividend	K	T	Buy	01/21/21	K		
60. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	K	T					
61. -OCCIDENTAL PETROLEUM WARRANTS		None	J	T					
62. -BRIGHTHOUSE FINANCIAL		None	L	T					
63. TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	J	T					
64. TD AMERITRADE IRA #2 (H)									
65. -WELLS FARGO CD	C	Interest			Matured	07/22/21	M		
66. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	N	T					
67. -TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	M	T					
68. -NORTHERN LIGHTS NORTH STAR DIVIDEND LIGHTS FUND	A	Dividend	J	T					

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69. VANGUARD IRA #5 (H)									
70. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T					
71. -BP PLC (COMMON STOCK)	B	Dividend	K	T					
72. -NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
73. -NUVEEN PREFERRED INCOME FUND	C	Dividend	L	T					
74. -NY COMMUNITY BK (COMMON STOCK)	C	Dividend	K	T					
75. NEW YORK UNIVERSITY 403(B) PLAN (NOW MANAGED BY TIAA) (H)									
76. -TIAA TRADITIONAL FUND	D	Dividend	N	T					
77. MASS MUTUAL LIFE INSURANCE (WHOLE)	A	Dividend	K	W					
78. ING LIFE INSURANCE (WHOLE)	C	Dividend	M	T					
79. PNC BANK WASHINGTON DC	A	Interest	L	T					
80. US BONDS	D	Interest	M	T					
81. JJ GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
82. VIRGINIA RETIREMENT SYSTEM	A	Interest	J	T					

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DYK, TIMOTHY B.	04/26/2022

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. IN PART VII, LINE 59 OF MY FINANCIAL DISCLOSURE REPORT FOR 2020, ISHARES JAPAN INDEX FUND SHOULD HAVE BEEN LISTED AS SOLD UNDER D.(1); 06/09/20 UNDER D.(2); L UNDER D.(3); E UNDER D.(4).

4. PART VII, LINE 75: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY.

5. THE VANGUARD FEDERAL MONEY MARKET FUND IS AN SEC-MANDATED SETTLEMENT FUND FOR SECURITIES TRANSACTIONS. PURCHASES AND SALES OF SECURITIES DISCLOSED IN THIS REPORT AUTOMATICALLY RESULTED IN CORRESPONDING SALES AND PURCHASES IN THE FUND. 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.

6. LUMINENT STOCK PREVIOUSLY REPORTED IN VANGUARD IRA #1 AND #2 HAS BEEN DECLARED WORTHLESS.

Name of Person Reporting	Date of Report
DYK, TIMOTHY B.	04/26/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544