AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
DYK, TIMOTHY B.	FEDERAL CIRCUIT	05/10/2024
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	01/01/2022 **to** 12/31/2022
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.	2022	UNIVERSITY OF NEBRASKA - BOARD OF REGENTS (ROYALTY)	$403.20
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.	2022	NYU LAW SCHOOL - SALARY
2.	2022	YALE UNIVERSITY LAW SCHOOL - SALARY
3.	2022	WASHINGTON UNIVERSITY - HONORARIA - $1,000.00
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.	FEDERAL CIRCUIT BAR ASSOCIATION	06/15/22 - 06/18/22	SEA ISLAND, GA	2022 BENCH AND BAR CONFERENCE	ROUND TRIP FLIGHT, PARKING AT AIRPORT, DINNER ON JUNE 15, 2022, AND LUNCH ON JUNE 16, 2022.
2.	THE AMERICAN LAW INSTITUTE	10/14/22	PHILADELPHIA, PA	RESTATEMENT OF THE LAW COPYWRIGHT MEETING	ROUND TRIP TRAIN AND PARKING.
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.	05/10/2024

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. 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)	
1.	LOT - TRURO, MA (PARCEL 1) ($275,500)		None	M	S					
2.	CARLYLE FUND	A	Dividend			Redeemed (part)	02/01/22	K	E	
3.	CARLYLE FUND	A	Dividend			Redeemed	12/14/22	J	A	
4.	MORGAN STANLEY PRIVATE BANK ACCOUNT	A	Interest	O	T					
5.	SPECIAL SITUATIONS LIFE SCIENCES INNOVATION FUND		None	M	T					
6.	SPECIAL SITUATIONS LIFE SCIENCES INNOVATION FUND II		None	L	T	Buy (add'l)	04/04/22	K		
7.	-CELMATIX, INC (PREFERRED SHARES) (SEE NOTE)		None	J	W	Buy	10/21/22	J		
8.	-CELMATIX, INC. (COMMON STOCK) (SEE NOTE)		None	J	W					
9.	-OOVA INC. (PREFERRED SHARES) (SEE NOTE)		None	J	W	Buy	08/18/22	J		
10.	-TMRW LIFE SCIENCES (PREFERRED SHARES) (SEE NOTE)		None	M	W					
11.	-TMRW LIFE SCIENCES (COMMON UNITS) (SEE NOTE)		None	J	W					
12.	-MEDANSWERS, INC. (CONVERTABLE NOTE) (SEE NOTE)		None	J	W					
13.	-CELMATIX, INC. SERIES A-3 (WARRANTS) (SEE NOTE)		None	J	W					
14.	-CELMATIX, INC. SERIES 1 (WARRANTS) (SEE NOTE)		None	J	W	Buy	10/21/22	J		
15.	JAPAN EQUITY FUND	C	Dividend	K	T					
16.	BANK OF AMERICA (COMMON STOCK)	D	Dividend	M	T					
17.	NUVEEN AMT FREE QUALITY MUNI INCOME FUND	D	Dividend	M	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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☐ 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)	
18.	CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					
19.	NUVEEN AMT FREE MUNI CREDIT INCOME FUND	A	Interest			Sold	03/09/22	M	C	
20.	SHELL (COMMON STOCK)	D	Dividend	M	T					
21.	VANGUARD FEDERAL MONEY MARKET FUND	E	Dividend	O	T					
22.	VANGUARD TAX EXEMPT MONEY MARKET FUND	A	Dividend	M	T					
23.	BANK OF CALIFORNIA (PREFERRED STOCK)	A	Dividend			Redeemed	03/15/22	L	B	
24.	BANK OF AMERICA CALLS		None			Sold	02/22/22	J		
25.	BANK OF AMERICA CALLS		None			Expired	06/17/22	J	D	
26.	XEROX HOLDINGS (COMMON STOCK)	C	Dividend	K	T					
27.	NY COMM BK CORP (COMMON STOCK)	B	Dividend	K	T					
28.	US TREASURY NOTE DUE 07/31/24	C	Interest	M	T	Buy	08/16/22	M		
29.	WARBY PARKER (COMMON STOCK)		None	J	T	Buy	05/23/22	K		
30.	WESTERN INTERMEDIATE MUNI FUND	C	Interest	M	T	Sold (part)	03/09/22	J		
31.	INFUSYSTEM HOLDINGS (COMMON STOCK)		None	K	T					
32.	TOTAL S.A. (COMMON STOCK)	C	Dividend	M	T					
33.	PA ST MUNI BD	A	Interest			Redeemed	11/01/22	K		
34.	LAWRENCE MA MUNI BD	A	Interest	K	T					

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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
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35.	NEWPORT-MESA CA UNION SCH DIST MUNI BD	B	Interest	K	T					
36.	WASHINGTON STATE MUNI BD	A	Interest			Redeemed	02/01/22	K		
37.	NORTHWEST BANK SHARES	B	Dividend			Sold	07/18/22	L		
38.	OGE ENERGY (COMMON STOCK)	B	Dividend			Sold	05/18/22	L	D	
39.	NUVEEN SELECT MATURITY (MUNICIPAL FUND)	A	Interest	J	T					
40.	VANGUARD IRA #4 (H)									
41.	-NEW AMERICA HIGH INCOME FUND	B	Dividend	K	T					
42.	-WESTERN ASSET HIGH INC OPP FUND	D	Dividend	M	T	Buy (add'l)	03/23/22	K		
43.	-FIDELITY JAPAN SMALL CO. FUND	C	Dividend	M	T					
44.	-VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T					
45.	-VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
46.	-BLACKSTONE MORT TRUST	A	Dividend	J	T					
47.	-PIMCO STOCKPLUS SHORT (FUND)	A	Dividend	L	T					
48.	-OCCIDENTAL PETROLEUM WARRANTS		None	J	T					
49.	-OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	L	T					
50.	-CRIMSON WINE GROUP (COMMON STOCK)		None	J	T					

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51. -M & T BANK CORP (COMMON STOCK) FORMERLY-PEOPLES UNITED (COMMON STOCK)	B	Dividend	L	T					
52. VANGUARD IRA - #1 (H)									
53. -BANK OF AMERICA (COMMON STOCK)	B	Dividend	L	T					
54. -FIDELITY JAPAN SM CO FUND	D	Dividend	M	T					
55. -VALARIS (COMMON STOCK) WTS		None	J	T					
56. -PIMCO STOCKPLUS (FUND)	A	Dividend	K	T					
57. -GENESIS ENERGY (COMMON STOCK)	A	Dividend	J	T					
58. -VANGUARD FEDERAL MONEY MARKET FUND	B	Dividend	M	T					
59. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
60. VANGUARD IRA #2 (H)									
61. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
62. -VANGUARD FEDERAL MONEY MARKET FUND	D	Dividend	P1	T	Buy (add'l)	11/22/22	P1		
63. -FIDELITY INV TRUST JAPAN SMALL CO FUND	E	Dividend	N	T					
64. -VALLEY NATIONAL BANK	C	Dividend	L	T					
65. -WESTERN ASSET HIGH INCOME FUND	D	Dividend	L	T					
66. VANGUARD IRA #3 (H)									

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
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67. -VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	J	T					
68. -VANGUARD TREASURY MONEY MARKET FUND	A	Dividend	J	T					
69. -PIMCO STOCKPLUS SHORT (FUND)	B	Interest	M	T					
70. -SUBARU (COMMON STOCK)	B	Dividend	K	T					
71. -OCCIDENTAL PETROLEUM (COMMON STOCK)	A	Dividend	L	T					
72. -OCCIDENTAL PETROLEUM WARRANTS		None	J	T					
73. -BRIGHTHOUSE FINANCIAL		None	K	T					
74. TD AMERITRADE INSURED DEPOSIT ACCOUNT IRA #1 (H)	A	Dividend	J	T					
75. TD AMERITRADE IRA #2 (H)									
76. -SPEC SITUATION LIFE SCIENCES FUND	A	Dividend	N	T					
77. -TD AMERITRADE INSURED DEPOSIT ACCOUNT	A	Dividend	L	T					
78. -NORTHERN LIGHTS NORTH STAR DIVIDEND LIGHTS FUND	A	Dividend	J	T					
79. US TREASURY NOTE - DUE 08/15/24	B	Interest	L	T	Buy	08/15/22	L		
80. VANGUARD IRA #5 (H)									
81. -VANGUARD FEDERAL MONEY MARKET FUND	C	Dividend	L	T					
82. -BP PLC (COMMON STOCK)	B	Dividend	K	T					
83. -NEW AMERICA HIGH INCOME FUND	A	Dividend	J	T					

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	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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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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84. -NUVEEN PREFERRED INCOME FUND	C	Dividend	K	T					
85. -WESTERN ASSET HIGH INCOME OPPORTUNITY FUND	C	Dividend	K	T	Buy	09/23/22	K		
86. -NY COMMUNITY BK (COMMON STOCK)	C	Dividend	K	T					
87. NEW YORK UNIVERSITY 403(B) PLAN (NOW MANAGED BY TIAA) (H)									
88. -TIAA TRADITIONAL FUND	E	Dividend	O	T					
89. MASS MUTUAL LIFE INSURANCE (WHOLE)	A	Dividend	K	W					
90. ING LIFE INSURANCE (WHOLE)	C	Dividend	M	T					
91. PNC BANK WASHINGTON DC	A	Interest	L	T					
92. US BONDS	D	Interest	M	T					
93. JJ GUMBERG LIMITED PARTNERSHIP	D	Distribution	J	W					
94. VIRGINIA RETIREMENT SYSTEM	A	Interest	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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

1. TOTAL INCOME FOR IRA ACCOUNTS IS TOTAL INCOME AS REPORTED BY CUSTODIAN OF ACCOUNT.

2. TRANSFERS FROM IRA MONEY MARKET TO PERSONAL ACCOUNTS (RMD) NOT SHOWN.

3. PART VII, LINE 84: PERIODIC EMPLOYER CONTRIBUTIONS MADE TO THIS ACCOUNT (NEW YORK UNIVERSITY 403(B) PLAN) ARE NOT REPORTED AS A SEPARATE BUY.

4. THE VANGUARD FEDERAL MONEY MARKET FUND IS AN SEC-MANDATED SETTLEMENT FUND FOR SECURITIES TRANSACTIONS. PURCHASES AND SALES OF SECURITIES DISCLOSED IN THIS REPORT AUTOMATICALLY RESULTED IN CORRESPONDING SALES AND PURCHASES IN THE FUND. THE SAME APPLIES FOR THE TD AMERITRADE INSURED DEPOSIT ACCOUNT. MONEY MARKET TRANSACTIONS INVOLVING DEPOSITS OF EMPLOYMENT COMPENSATION OR A PAYMENT OF PERSONAL EXPENSES AND EXCHANGES BETWEEN FUNDS NOT LISTED AS BEING IDENTICAL TO BANK ACCOUNT ACTIVITIES.

5. THE LIFE SCIENCES INNOVATION FUND AND LIFE SCIENCES INNOVATION FUND II INCLUDE CELMATIX, INC., OOVA INC., TMRW LIFE SCIENCES, AND MEDANSWERS. I DO NOT OWN THESE SECURITIES INDIVIDUALLY BUT AS PART OF THE LIFE SCIENCES INNOVATION FUND AND LIFE SCIENCES FUND II. GOING FORWARD I HAVE DECIDED TO REPORT MY ALLOCATED SHARE OF THE FUNDS EVEN THOUGH REPORTING MAY NOT BE NECESSARY. THESE FUNDS ARE NOT THE SAME AS ITEM #76: THE SPEC SITUATION LIFE SCIENCES FUND.

6. THE AMENDMENT WAS NECESSARY BECAUSE THE LIFE SCIENCES INNOVATION FUNDS GAVE ME THE INCORRECT INFORMATION FOR THE HOLDINGS AT THE END OF 2022.

Name of Person Reporting	Date of Report
DYK, TIMOTHY B.	05/10/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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