

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Ambro, Thomas L.	2. Court or Organization U.S. Court of Appeals, 3rd Cir	3. Date of Report 05/15/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address Federal Courthouse 844 King Street, Lock Box 32 Wilmington, DE 19801		
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.	Trustee	Revocable Trust
2.	Member (Emeritus)	Georgetown University Alumni Admissions Program Board of Advisors
3.	Member	Executive Committee, Richard S. Rodney Inn of Court
4.	Member	Georgetown University Northern Delaware Alumni Admissions Program
5.	Member	Board of Editors, Delaware Lawyer
6.	Member	Board of Editors, Delaware Law Review

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

☒ **NONE** (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Georgetown University - teaching	\$6,000.00
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. 2012	State of Delaware - salary
2.	
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American College of Bankruptcy	February 23-24, 2012	Boxton, MA	Panelist	Transportation, Lodging & Meals
2. American College of Bankruptcy	March 16-17, 2012	Washington, DC	Induction Dinner	Transportation
3. American Bar Association	March 22-25, 2012	Las Vegas, NV	Section of Business Law Spring Meeting	Transportation & Lodging
4. Georgetown University	April 11, 2012	Washington, DC	Teaching Class	Transportation
5. American Bar Association	April 20-22, 2012	Philadelphia, PA	Federal Judicial Improvements Spring Meeting	Transportation & Lodging

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6.	The Courts	May 17-18, 2012	Washington, DC	Judicial Conference Meeting	Transportation, Lodging & Meals
7.	New York University School of Law	July 15-16, 2012	New York City, NY	Appellate Seminar Faculty	Transportation, Lodging & Meals
8.	Georgetown University	July 31 - August 1, 2012	Washington, DC	Teaching Class	Transportation
9.	American Bar Association	August 3-5, 2012	Chicago, IL	Annual Meeting	Transportation & Lodging
10.	Georgetown University	August 28-29, 2012	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	September 8-9, 2012	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	September 16-17, 2012	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	September 23-24, 2012	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	September 29-October 1, 2012	Washington, DC	Teaching Class	Transportation
15.	American College of Bankruptcy	October 11-12, 2012	Pittsburgh, PA	Panelist: Valuation Seminar	Transportation
16.	Georgetown University	October 14, 2012	Washington, DC	Teaching Class	Transportation
17.	American College of Bankruptcy	October 16-17, 2012	St. Louis, MO	Guest Speaker	Transportation & Lodging
18.	Georgetown University	October 20-22, 2012	Washington, DC	Teaching Class	Transportation
19.	Georgetown University	October 25, 2012	Washington, DC	Teaching Class	Transportation
20.	Georgetown University	November 4-5, 2012	Washington, DC	Teaching Class	Transportation
21.	Georgetown University	November 11-12, 2012	Washington, DC	Teaching Class	Transportation
22.	Georgetown University	November 18-19, 2012	Washington, DC	Teaching Class	Transportation
23.	Georgetown University	November 25, 2012	Washington, DC	Teaching Class	Transportation
24.	Georgetown University	December 2-3, 2012	Washington, DC	Teaching Class	Transportation
25.	Georgetown University	December 9-12, 2012	Washington, DC	Teaching Class	Transportation

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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.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 144)	P1
4.	PNC Bank, National Association	Guaranty of letter of credit reimbursement obligations of Middletown Professional Properties, LLC	O
5.			

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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. 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. M&T Bank Account	A	Interest	K	T					
2. M&T Bank Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor		None	J	T					
4. Trust Account #6	D	Dividend	N	T					
5. - Centerpoint Energy Inc									
6. - Harris Assoc Oakmark I									
7. - Oppenheimer Limited Term Municipal FD CL C					Sold (part)	07/17/12	J	A	
8. - WF Advantage Municipal Money Market									
9. - Susquehanna Bancshares					Sold	08/16/12	J	C	
10. - Teva Pharmaceutical ADR					Sold	10/11/12	J	A	
11. IRA Account #1	D	Dividend	N	T					
12. - Oakmark Fund Class I									
13. - Dodge & Cox Intl Stock Fund					Buy (add'l)	06/28/12	J		
14.					Buy (add'l)	06/29/12	J		
15. - Fairholme Fund					Buy (add'l)	06/28/12	J		
16.					Buy (add'l)	06/29/12	J		
17.					Sold (part)	10/12/12	J	A	

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

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	(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)

18. - Harris Assoc Invt TR Oakmark Equity & Income					Sold	06/27/12	K	C	
19. - Pimco Unconstrained BD Fund CL Institutional					Sold	06/27/12	K		
20. - JP Morgan TR Strategic Income Oppty SEL CL					Sold	06/27/12	K		
21. - Loomis Sayles FDS I Bond Fund Retail Class					Sold	06/27/12	K		
22. - Matthews Intl FD Asian Growth & Income FD					Sold	06/27/12	J		
23. - WHV International Equity FD CL 1					Buy (add'l)	06/28/12	J		
24.					Buy (add'l)	06/29/12	J		
25. - Pimco Global Multi Asset FD					Sold	06/27/12	J		
26. - Templeton Income TR Global Total Return FD					Sold	06/27/12	K		
27. - Vanguard Inflation Protected Securities Fund					Sold	04/18/12	J	A	
28. - Fairholme Funds Inc Focused Income Fund					Sold	06/27/12	K		
29. - Federated Strategic Value Dividend Fund					Buy (add'l)	06/29/12	J		
30. - Natixis FDS TR 1 Oakmark Intl FD					Buy (add'l)	06/28/12	J		
31.					Buy (add'l)	06/29/12	J		
32. - Nuveen Invt Trust Tradewinds Value Oppty FD					Sold	04/18/12	J		
33. - Pimco All Asset Fund Inst CL					Sold	06/27/12	J		
34. - Federated Prudent Dollarbear FD					Sold	06/27/12	J		

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	
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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)	(5) Identity of buyer/seller (if private transaction)
35. - Nuveen Tradewinds Global All-Cap FD Instl Shs Class					Sold	04/18/12	J		
36. - Brandes Invt TR Instl Emerging Mkts FD					Buy	06/28/12	K		
37.					Buy (add'l)	06/29/12	J		
38. - Calamos Invt TR New Growth FD					Buy	06/28/12	K		
39.					Buy (add'l)	06/29/12	J		
40.					Sold	11/12/12	K	A	
41. - Federated Intl Strategic Value Dividend Fund					Buy	6/28/12	K		
42.					Buy (add'l)	06/29/12	J		
43. - Matthews Asia Dividend Fund					Buy	06/28/12	K		
44.					Buy (add'l)	06/29/12	J		
45. -Pimco Equity Ser Eqs Pathfinder					Buy	06/28/12	K		
46.					Buy (add'l)	06/29/12	J		
47. - Pimco FDS Emerging Local BD FD CL P					Buy	04/02/12	J		
48.					Sold	06/27/12	J		
49. - Primecap Odyssey FDS Aggressive Growth Fund					Buy	11/13/12	K		
50. - T Rowe Price Cap Appreciation FD					Buy	06/28/12	K		
51.					Buy (add'l)	06/29/12	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)
52. - Thornburg Invt TR Income Builder FD					Buy	06/28/12	K		
53.					Buy (add'l)	06/29/12	J		
54. IRA Account #2	E	Int./Div.	M	T					
55. - Fairholme Fund					Sold (part)	06/22/12	K		
56.					Sold (part)	10/26/12	K	A	
57. - Harris Assoc Invt TR Oakmark Equity & Income Fund					Sold	06/22/12	M	E	
58. - WHV International Equity FD CL					Sold (part)	06/22/12	L	D	
59.					Sold (part)	10/26/12	J		
60. - Fairholme Funds Inc Focused Income Fund					Sold	06/22/12	M		
61. - JP Morgan TR Strategic Income Oppty SEL CL					Sold	06/22/12	M		
62. - Matthews Intl FD Asian Growth & Income FD					Sold (part)	06/22/12	K		
63.					Sold	06/26/12	K		
64. - Nuveen Tradewinds Global All Cap FD Instl Sh					Sold	04/18/12	K		
65. - Pimco FDS Emerging Local BD FD					Sold	06/22/12	L		
66. - Pimco Global Multi Asset FD					Sold	06/22/12	L		
67. - Templeton Income TR Global Total Return FD					Sold	06/22/12	M		
68. - Dodge & Cox Intl Stock FD					Sold (part)	06/22/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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69.					Sold (part)	10/26/12	J		
70. -Fairholme Funds Inc Allocation FD					Sold	06/22/12	L		
71. - Federated Strategic Value Dividend FD					Sold (part)	06/22/12	L	C	
72.					Sold (part)	10/26/12	K	B	
73. - Federated Prudent Dollarbear FD					Sold	06/22/12	L		
74. - Harris Assoc Invt TR Oakmark Global Select FD					Sold	06/22/12	L		
75. - Loomis Sayles Invt TR Bond Class I					Sold (part)	02/14/12	J		
76.					Sold	06/22/12	N		
77. - Natixisfds TR I Oakmark Intl FD					Sold (part)	06/22/12	K		
78.					Sold (part)	10/26/12	K		
79. - Nuveen Invt Trust Tradewinds Value Opptys					Sold	04/18/12	K		
80. - Pimco Unconstrained BD FD CL Institutional Funds					Sold	06/22/12	N	D	
81. - Pimco All Asset Fnd Inst CL					Sold	06/22/12	L		
82. - Brandes Invt TR Instl Emerging Mkts FD					Buy	06/22/12	K		
83.					Sold (part)	10/26/12	J	A	
84. - Federated Invt TR Instl Emerging Mkts FD					Buy	06/22/12	K		
85.					Sold (part)	10/26/12	K	B	

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86. - Matthews Asia Dividend FD					Buy	06/26/12	K		
87.					Sold (part)	10/26/12	K	B	
88. - Pimco Equity Ser EQS Pathfinder					Buy	06/22/12	K		
89.					Sold (part)	10/26/12	K	A	
90. - Primecap Odyssey FDS Aggressive Growth FD					Buy	11/13/12	K		
91. - T Rowe Price Ca Appreciation FD					Buy	06/22/12	K		
92.					Sold (part)	10/26/12	K	B	
93. - Thornburg Invt TR Invt Income Builder					Buy	06/22/12	K		
94.					Sold (part)	10/26/12	K	A	
95. - Calamos Invt TR New Growht FD Instl CL					Buy	06/22/12	K		
96.					Sold (part)	10/26/12	K	A	
97.					Sold	11/12/12	K	A	
98. Trust Account #12	D	Int./Div.	M	T					
99. - Fairholme Fund					Buy (add'l)	02/02/12	K		
100.					Sold (part)	06/26/12	K		
101. - Oracle Corp					Sold	02/02/12	J	A	
102. - Harris Assoc INVT TR Oakmark Global Seletct FD					Buy (add'l)	02/02/12	J		

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
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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)	(5) Identity of buyer/seller (if private transaction)
103.					Sold	06/26/12	J	A	
104. - WHV International Equity FD					Sold (part)	02/02/12	J	A	
105.					Sold (part)	06/26/12	J	A	
106.					Buy (add'l)	06/28/12	J		
107. - Oppenheimer Limited Term Municipal Fund Class A					Buy (add'l)	01/12/12	J		
108.					Sold (part)	02/02/12	L	B	
109.					Sold	02/06/12	J	A	
110. - Matthews Intl FD Asian Growth & Income FD					Buy (add'l)	02/02/12	J		
111.					Sold	06/26/12	J		
112. - Nuveen All American Municipal BD FD					Sold (part)	02/06/12	J	A	
113.					Sold	04/19/12	L	C	
114. - Nuveen Tradewinds Global All-Cap FD Instl Sh					Buy (add'l)	02/03/12	J		
115.					Sold	04/18/12	J		
116. -Federated Strategic Value Dividend Fund Instl					Sold (part)	06/26/12	J	A	
117.					Buy (add'l)	06/28/12	J		
118. -Franklin Funds High Yield Tax-Free Inc. Fund					Sold	02/02/12	J	A	
119. - Nuveen Invt Trust Tradewinds Value Opptys Fund					Buy (add'l)	02/03/12	J		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)
120.					Sold	04/18/12	J		
121. - Pimco All Asset Fnd Inst CL					Sold	06/26/12	J		
122. - Pimco Global Multi-Asset FND					Sold	06/26/12	J		
123. - Thornburg Invt TR Income Builder FD					Buy (add'l)	02/02/12	J		
124.					Buy (add'l)	06/28/12	J		
125. - Brandes Invt TR Inst Emerging Mkts FD					Buy	06/27/12	J		
126.					Buy (add'l)	06/28/12	J		
127. - Calamos Invt TR New Growth FD Instl					Buy	06/27/12	J		
128.					Buy (add'l)	06/28/12	J		
129.					Sold	11/12/12	K	A	
130. - Dodge & Cox Intl Stock FD					Buy	02/02/12	J		
131.					Buy (add'l)	06/28/12	J		
132. - Federated Intl Strategic Value Dividend FD					Buy	06/27/12	J		
133.					Buy (add'l)	06/28/12	J		
134. - Matthews Asia Dividend FD					Buy	06/26/12	J		
135.					Buy (add'l)	06/27/12	J		
136.					Buy (add'l)	06/28/12	J		

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	
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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.)

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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)
137. - Natixis FDS TR I Oakmark Intl FD CL A					Buy	02/02/12	J		
138.					Buy (add'l)	06/27/12	J		
139.					Buy (add'l)	06/28/12	J		
140. - Pimco Equity Ser EQS Pathfinder FD					Buy	06/26/12	J		
141.					Buy (add'l)	06/28/12	J		
142. - Primecap Odyssey FDS Aggressive Growth FD					Buy	11/13/12	K		
143. - T Rowe Price Cap Appreciation FD					Buy	06/26/12	J		
144.					Buy (add'l)	06/28/12	J		
145. Springside, LLC (2000 - \$300,000, 2012- \$20,123)	B	Interest	P1	W	Buy (add'l)	08/07/12	K		
146. Middletown Professional Properties, LLC, (2004 - \$80,925)	E	Rent	O	W					
147. Trust #14	F	Interest	P1	T					
148. - Du Page Cook & Will Cntys IL Bond									
149. - Rhode Island St Economic DV Corp RV Grant					Sold	04/18/12	K	B	
150. - Oklahoma Cnty Ok Indpt Sch Dist No 89									
151. - Milwaukee WI Corp Purp B1 G/O Unltd					Sold	05/16/12	K	B	
152. - University TX Univ Revs Rfdg Fing Sys									
153. - Gwinnett Cnty GA Sch Dist G/O									

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	
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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)
154. - Tennessee ST Ser A G/O					Sold	05/10/12	K	C	
155. - Maryland St St & Loc FACS LN 2nd Ser G/O									
156. - Cherokee Cnty GA Sch Sys G/O									
157. - Illinois St Toll Hwy Auth Rev SR Priority									
158. - Arizona Brd Regents Univ AZ Sys Rev Ser A									
159. - University IL Revs Rfdg Auxiliary Facs Sys					Sold	10/31/12	M	C	
160. - Washington ST Ser A G/O Unl TD					Sold	11/30/12	K	B	
161. - Las Vegas Wly NV Wtr Dist Rfdg Ser a					Sold	09/13/12	L	D	
162. - Utah St Ser C G/O B/E CPN									
163. - Indiana ST Fin Auth Rev Rfdg ST									
164. - Connecticut ST HSG Fin Auth					Sold	10/31/12	L	D	
165. - Metro Atlanta Rapid Tran Rev Ref									
166. - Massachusetts St Sch Bldg Auth Dedicated Sales Tax					Sold	10/31/12	M	D	
167. - Sprint TX Indpt Sch Dist Ref Schoolhouse Ser A									
168. - Lower Co Riv Auth TX Transmission Contract RV									
169. - Dallas TX Area Rapid Tran Sales Tax Rev									
170. - Missouri St Hwys & Transn Commn ST RD Rev									

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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)
171. - Poway CA Uni Sch Dist Rfdg Sch Facs Impt Dist					Sold	10/31/12	M	E	
172. - University WA Univ Revs Rfdg Gen Ser A B/E									
173. - Minnesota ST Gen FD Rfdg Appropriation Ser B					Buy	12/03/12	L		
174. - New Jersey ST Tpk Auth Tpk Rev Ser B					Buy	09/21/12	M		
175. - Fort Bend Cnty TX Rfdg Sub Lien Toll RD					Buy	06/09/12	K		
176. - Charlotte Mecklenburg Hsp Auth NC HC Sys Rev Rfdg					Buy	05/10/12	L		
177. Trust #15	D	Int./Div.	N	T					
178. - Cisco Systems Inc					Sold	10/11/12	J	A	
179. - Duke Energy Corp									
180. - Johnson & Johnson									
181. - Microsoft Corp									
182. - Oracle Corporation					Sold	10/26/12	J	C	
183. - Range Resources Corp									
184. - Sandridge Energy Inc					Sold	10/26/12	J		
185. - The Southern Company					Sold	08/30/12	J	C	
186. - Rex Energy Corp					Buy	02/23/12	J		
187.					Buy (add'l)	05/08/12	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)
188.					Buy (add'l)	11/16/12	J		
189. - The St Joe Company					Buy	04/03/12	K		
190. - Ultra Petroleum Corp					Buy	03/27/12	J		
191. - Fairholme FDS Inc					Buy	09/20/12	J		
192.					Buy (add'l)	12/05/12	J		
193. -Franklin Funds High Yield Tax-Free Inc					Buy	06/26/12	J		
194.					Sold (part)	08/02/12	J	B	
195.					Sold (part)	12/17/12	J	A	
196. - Oppenheimer Muni FD Limited Term Mun FD					Buy	01/12/12	K		
197.					Buy (add'l)	06/26/12	J		
198.					Sold (part)	08/02/12	J	A	
199.					Sold (part)	12/17/12	J	A	
200. - Brocade Communications Systems					Buy	02/06/12	J		
201.					Sold	06/21/12	J		
202. IRA #3	D	Int./Div.	O	T					
203. - Centerpoint Energy Inc					Sold	06/21/12	K	D	
204. - Devon Energy Corp					Buy (add'l)	12/17/12	J		

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

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205. - Dominion Res Inc VA									
206. - Exxon Mobil Corp									
207. - Intel Corp					Sold	10/11/12	K	B	
208. - Market Vector Gold Miners									
209. - Supervalu Inc					Buy (add'l)	04/19/12	J		
210. - Unified Ser TR Appleseed FD									
211. - Brown Cap Mgmt Mut FDS Small Co Fund Inv									
212. - Gamco Gbl Gold Natural Resources & Income TR by Gabelli									
213. - Marine Harvest - Unspn ADR					Buy	03/29/12	J		
214. - The St Joe Company					Buy	06/25/12	J		
215. - Fairholme FDS Inc					Buy	09/26/12	K		
216. - Federated Equity FDS Prudent Bear FD Instl CL					Buy	10/26/12	M		
217.					Sold	12/17/12	M		
218. IRA #4	D	Int./Div.	P1	T					
219. - iShares Barclays 3-7 Yr Treasury Bond FD					Buy	06/27/12	O		
220.					Sold (part)	07/02/12	O	A	
221.					Buy (add'l)	08/01/12	N		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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222.					Sold (part)	09/04/12	N	A	
223.					Buy (add'l)	11/01/12	N		
224. - iShares Core S&P Midcap ETF					Buy	11/01/12	N		
225. - Proshares Trust ET Ultra 7-10 YR Treasury Non-Traditional					Buy	06/27/12	N		
226.					Sold (part)	07/02/12	O	C	
227.					Buy (add'l)	08/01/12	N		
228.					Sold (part)	09/04/12	N		
229.					Buy (add'l)	11/01/12	N		
230. - Proshares Ultra ET Midcap 400 Non- Traditional ETF					Buy	09/04/12	N		
231.					Sold (part)	10/01/12	N	B	
232.					Buy (add'l)	11/01/12	N		
233. - iShares S&P Midcap 400 ETF					Buy	09/04/12	O		
234.					Sold	10/01/12	O		
235. - iShares TR S&P 500					Buy	07/03/12	O		
236.					Sold (part)	08/01/12	K	A	
237.					Sold	09/04/12	O	E	
238. -iShares Core S&P 500 ETF					Buy	10/01/12	O		

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	
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	(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)
239.					Sold	11/01/12	O		
240. - iShares Russell 2000 ETF					Buy	07/02/12	O		
241.					Sold (part)	08/01/12	O		
242.					Buy (add'l)	09/04/12	O		
243.					Sold	11/01/12	O	B	
244. - iShare Barclay 1-3 Yr TR ETF					Buy	06/27/12	O		
245.					Sold	07/02/12	O		
246. - Proshares Ultra S&P 500 ETF					Buy	07/02/12	N		
247.					Sold (part)	09/04/12	N	E	
248.					Buy (add'l)	10/01/12	N		
249.					Sold	11/01/12	N		
250. - Ultra Russell 2000					Buy	07/02/12	N		
251.					Sold (part)	08/01/12	M		
252.					Buy (add'l)	09/04/12	N		
253.					Sold (part)	10/01/12	J	A	
254.					Sold	11/01/12	N	B	
255. Trust #16	C	Int./Div.	O	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Ambro, Thomas L.

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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. 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)

256. - Anworth Mortgage Asset Corp					Buy	11/07/12	J		
257.					Buy (add'l)	12/26/12	J		
258. - Apollo Investment Corp					Buy	11/07/12	J		
259. - Applied Materials Inc AMAT					Buy	11/16/12	J		
260. - Arlington Asset Investment Corp					Buy	11/07/12	J		
261. - Armour Residential Reit Inc					Buy	12/18/12	J		
262.					Buy (add'l)	12/31/12	J		
263. - Blackrock Kelso Capital Corp					Buy	11/07/12	J		
264. - Cardinal Health Inc					Buy	11/07/12	J		
265. - Centrylink Inc					Buy	11/07/12	K		
266. - Cisco Systems Inc					Buy	11/07/12	J		
267. - Cypress Semiconductor Corp					Buy	11/07/12	J		
268.					Buy (add'l)	11/13/12	J		
269. - CYS Investments Inc					Buy	11/07/12	J		
270. - Dynex Cap Inc					Buy	11/07/12	J		
271. - Ford Motor Company					Buy	11/07/12	J		
272.					Sold (part)	11/14/12	J		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)

273. - General Electric Company					Buy	11/07/12	J		
274. - Halliburton Company					Buy	11/07/12	J		
275. - Intersil Corp					Buy	11/07/12	J		
276. - Johnson & Johnson					Buy	11/07/12	J		
277. - KLA-Tencor corp					Buy	11/19/12	J		
278. - Kohls Corp					Buy	11/07/12	J		
279.					Buy (add'l)	12/20/12	J		
280.					Buy (add'l)	12/26/12	J		
281. - Kroger Company Common					Buy	11/07/12	J		
282.					Sold (part)	11/14/12	J		
283. - Marvell Technology Group LTD					Buy	11/07/12	J		
284. - Microsoft Corp					Buy	11/12/12	J		
285.					Buy (add'l)	11/13/12	J		
286.					Buy (add'l)	11/16/12	J		
287. - New York Mortgage Trust Inc					Buy	11/07/12	J		
288. - NewCastle Investment Corp					Buy	11/07/12	J		
289. - Northstar Realty Finance Corp					Buy	11/07/12	J		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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)
290.					Sold (part)	11/14/12	J		
291. - Proctor & Gamble					Buy	11/07/12	J		
292. - Proshares TR ET Ultrashort Russell 2000					Buy	11/23/12	J		
293.					Buy (add'l)	11/26/12	J		
294.					Sold (part)	12/11/12	J		
295.					Buy (add'l)	12/19/12	J		
296. - Proshares Trust ET Ultrashort S&P 500					Buy	11/07/12	L		
297.					Buy (add'l)	11/14/12	J		
298.					Sold (part)	11/16/12	J	A	
299.					Sold (part)	11/19/12	J	A	
300.					Sold (part)	12/11/12	J		
301.					Buy (add'l)	12/19/12	J		
302. - Prospect Capital Corp					Buy	11/07/12	J		
303.					Buy (add'l)	11/12/12	J		
304. - Regal Entertainment Group					Buy	11/07/12	J		
305. - Select Sector Spdr TR Utilities Select Sector					Buy	11/07/12	J		
306. - St Jude Medical Inc					Buy	11/21/12	J		

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

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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)
307. - Telefonica Brasil SA Sponsored ADR					Buy	12/26/12	J		
308. - Telefonica SA Spon ADR					Buy	11/07/12	J		
309. - TICC Capital Corp					Buy	11/07/12	J		
310. - Total SA Spons ADR					Buy	11/07/12	J		
311. - Two Harbors Invt Corp					Buy	11/07/12	J		
312. - Walgreen Company					Buy	11/07/12	J		
313. - Waste Management Inc Del					Buy	11/07/12	J		
314.					Buy (add'l)	11/19/12	J		
315.					Buy (add'l)	12/31/12	J		
316. - Whitestone Reit					Buy	11/07/12	K		
317.					Sold (part)	12/04/12	J	A	
318. - Gladstone Investment Corp					Buy	11/07/12	J		
319. - Exelon Corporation					Buy	11/07/12	J		
320.					Sold	11/13/12	J		
321. - JP Morgan Chase & Co					Buy	11/07/12	J		
322.					Sold	11/23/12	J	A	
323. - Kellogg Company					Buy	11/07/12	J		

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
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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.)

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	(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)
324.					Sold (part)	11/14/12	J		
325.					Sold	11/26/12	J	A	
326. - Merck & Co Inc New					Buy	11/07/12	J		
327.					Sold	11/21/12	J		
328. - Wells Fargo Company					Buy	11/07/12	J		
329.					Sold	11/21/12	J		

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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Asset listed in Part VII, Line 145, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Assets listed in Part VII, Lines 1&2, bank name changed because Wilmington Trust Bank was purchased by M&T Bank.

Part VI, Line 4, is in reference to investment listed in Part VII, Line 146.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Thomas L. Ambro**

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