

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) Ambro, Thomas L.	2. Court or Organization U.S. Court of Appeals, 3rd Cir	3. Date of Report 05/14/2018
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 Federal Courthouse 844 N. 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	Thomas L. Ambro Revocable Trust
2.	Member (Emeritus)	Georgetown University Alumni Admissions Program Board of Advisors
3.	Member	Georgetown University Northern Delaware Alumni Admissions Program
4.	Member	Board of Editors, Delaware Lawyer
5.	Member (Emeritus)	TriBar Opinion Committee
6.	Member, Advisory Board	Working Group on Legal Opinions Foundation

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 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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	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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. New York University	May 15-16, 2017	New York City, NY	Seligman Lecture	Transportation, Lodging
2. Georgetown University	September 10-11, 2017	Washington, DC	Teaching Class	Transportation
3. Georgetown University	September 16-18, 2017	Washington, DC	Teaching Class	Transportation
4. Georgetown University	September 24-26, 2017	Washington, DC	Teaching Class	Transportation
5. Georgetown University	October 1-2, 2017	Washington, DC	Teaching Class	Transportation
6. Georgetown University	October 15-16, 2017	Washington, DC	Teaching Class	Transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

7.	Georgetown University	October 21-23, 2017	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	October 25, 2017	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	October 29-30, 2017	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	November 5-6, 2017	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	November 12-13, 2017	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 17, 2017	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	November 19-20, 2017	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	November 26-27, 2017	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	December 3-4, 2017	Washington, DC	Teaching Class	Transportation
16.	Georgetown University	December 10-11, 2017	Washington, DC	Teaching Class	Transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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 96)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 96)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 96)	P1
4.	PNC Bank, N.A.	Non-Recourse Guaranty and Suretyship Agreement (Part VII, Line 98)	P1
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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		None	L	T					
2. M&T Bank Account		None	J	T					
3. Trust Account #6 (H)									
4. - Harris Assoc Oakmark I	D	Dividend	M	T	Sold (part)	03/13/17	J	A	
5.					Sold (part)	07/11/17	J	B	
6. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
7. IRA Account #2 (H)									
8. - Fairholme Fund	B	Dividend	M	T					
9. - Dodge & Cox Intl Stock FD	A	Dividend	L	T					
10. - Federated Strategic Value Dividend FD	D	Dividend	L	T					
11. - Natixis FDS TR I Oakmark Intl FD	A	Dividend	K	T					
12. - Brandes Invt TR Instl Emerging Mkts FD	A	Dividend	K	T					
13. - Matthews Asia Dividend FD	B	Dividend	K	T					
14. - Primecap Odyssey FDS Aggressive Growth FD	A	Dividend	L	T	Sold (part)	08/25/17	K	C	
15. - Pimco Equity SER	C	Dividend	L	T					
16. - Neuberger Berman Alternative FDS		None	L	T					
17. - Primecap Odyssey Growth	A	Dividend	L	T	Sold (part)	08/25/17	K	D	

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 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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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				
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18. - Virtus Emerging Markets Opportunities Fund	A	Dividend	K	T					
19. - JP Morgan TR I Strategic Income Opportunity	C	Dividend	M	T	Buy (add'l)	06/22/17	K		
20. - Dodge & Cox Stock FD	C	Dividend	L	T					
21. - Dodge & Cox Income FD	C	Dividend	M	T	Buy (add'l)	06/22/17	K		
22. - Doubleline FDS TR Total Return BD FD	C	Dividend	M	T	Buy (add'l)	06/22/17	K		
23. - Harris Assoc Invnt TR Oakmark Global Select FD	D	Dividend	M	T					
24. - Federated Equity FDS Intl Strategic Value Div FD	B	Dividend	K	T					
25. - Saratoga Advantage TR James Alpha Gbl Real Estate Invst	D	Dividend	L	T					
26. - Lord Abbett Investment TR Short Duration Income	B	Dividend			Sold	02/28/17	M		
27. - T Rowe Price New Era Fund	A	Dividend	K	T	Sold (part)	01/13/17	J	A	
28. - Steelpath MLP FDS TR Oppenheimer	B	Dividend	K	T					
29. - Artisan Partners FDS Inc Global Value FD Adv	B	Dividend	L	T					
30. - Guggenheim FDS TR Macro Opportunities FD Instl CL	B	Dividend	L	T	Buy	06/22/17	L		
31. - Kinetics MUT FDS INC Paradigm Fund Instl CL		None	J	T	Buy	10/17/17	J		
32. - Kinetics MUT FDS Inc Small Cap Opportunities FD Instl CL		None	J	T	Buy	10/17/17	J		
33. - Pimco Low Duration Income Fund	D	Dividend	M	T	Buy	03/02/17	M		
34.					Sold (part)	07/14/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 22

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Ambro, Thomas L.

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35.					Sold (part)	07/18/17	K	A	
36.					Sold (part)	07/19/17	J	A	
37. - Pimco FDS Income FD Instl CL	B	Dividend	L	T	Buy	06/22/17	L		
38. - Trust for Advised port Miller Opportunity TR		None	K	T	Buy	07/18/17	K		
39. - Artisan Intl Small Cap Fund Investor Series	C	Dividend	K	T	Open	08/03/17	K		
40. - Brown Cap Mgmt Small Co FD Instl CL	A	Dividend	J	T	Open	08/03/17	J		
41. - Devon Entergy Corp	A	Dividend	J	T	Open	08/03/17	J		
42. - Fairholme FDS In Focused Income Fund	D	Dividend	L	T	Open	08/03/17	L		
43. - Oakmark International Small Cap FD Advisor CL	A	Dividend	K	T	Open	08/03/17	K		
44. - Knot Offshore Partners LP	B	Dividend	M	T	Open	08/03/17	M		
45. - Marine Harvest Asaspon ADR	B	Dividend	K	T	Open	08/03/17	K		
46. - Matthews Intl FD Asian Growth & Income FD	C	Dividend	L	T	Open	08/03/17	L		
47. - Miller Invst Trust Convertible BD FD	E	Dividend	O	T	Open	08/03/17	O		
48. - Professionally Managed Portfolio CL Instl Hodges Small Cap	B	Dividend	J	T	Open	08/03/17	J		
49. - Rex Energy Corp		None	J	T	Open	08/03/17	J		
50. - Sunoco LP	C	Distribution	L	T	Open	08/03/17	L		
51. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T	Open	08/03/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 22

Name of Person Reporting

Ambro, Thomas L.

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52. Trust Account #12 (H)									
53. - Fairholme Fund	C	Dividend	L	T					
54. - Dodge & Cox Intl Stock FD	A	Dividend	K	T	Buy (add'l)	06/26/17	J		
55. - Matthews Asia Dividend FD	B	Dividend	K	T	Buy (add'l)	06/26/17	J		
56. - Primecap Odyssey FDS Aggressive Growth FD	A	Dividend	L	T	Buy (add'l)	01/05/17	J		
57.					Buy (add'l)	02/08/17	J		
58.					Sold (part)	02/28/17	J	B	
59. - Dodge & Cox Stock Fund	C	Dividend	L	T					
60. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
61. - Saratoga Advantage TR James Alpha Gbl Real Estate	B	Dividend	K	T					
62. - Pimco Multi-MGR Short Duration Muni Inc Fund Inst CL	B	Dividend	L	T	Buy (add'l)	04/05/17	J		
63.					Buy (add'l)	05/05/17	J		
64.					Buy (add'l)	06/05/17	J		
65.					Sold (part)	06/06/17	K		
66.					Sold (part)	06/22/17	K	A	
67.					Buy (add'l)	06/26/17	M		
68.					Buy (add'l)	07/05/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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69.					Sold (part)	07/18/17	J		
70.					Buy (add'l)	08/07/17	J		
71.					Sold (part)	08/03/17	J		
72.					Sold (part)	08/09/17	J		
73.					Sold (part)	08/28/17	J		
74.					Sold (part)	08/29/17	J		
75.					Buy (add'l)	09/05/17	J		
76.					Sold (part)	09/21/17	K		
77.					Buy (add'l)	10/05/17	J		
78.					Buy (add'l)	11/06/17	J		
79.					Buy (add'l)	12/05/17	J		
80.					Sold (part)	12/15/17	J		
81. - Pimco Low Duration Income Fund	A	Dividend			Open	03/13/17	J		
82.					Sold	06/06/17	J	A	
83. - American Funds Developing World Growth & Income FD	A	Dividend	J	T	Buy	05/25/17	J		
84. - Artisan Intl Small Cap Fund Investor Series	C	Dividend	K	T	Buy	06/26/17	K		
85. - Oakmark Global Select Fund Advisor Class	A	Dividend	L	T	Buy	06/26/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 22

Name of Person Reporting

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86. - Oakmark International Small Cap FD Advisor CL	B	Dividend	K	T	Buy	06/26/17	K		
87. - Matthews Intl FD Asain Growth & Income FD	A	Dividend	K	T	Buy	06/26/17	J		
88. - Nuveen Muni TR High Yield Mun BD FD	C	Dividend	M	T	Buy	06/26/17	L		
89. - Virtus Funds Vontobel Emerging Mkts Opportunities FD	A	Dividend	K	T	Buy	06/26/17	J		
90. - Ensco Plc	A	Dividend	K	T	Buy	08/03/17	J		
91.					Buy (add'l)	08/29/17	J		
92.					Buy (add'l)	09/21/17	J		
93. -Brown Cap Mgmt Mut FDS Brown Cap Mgmt Small Co FD	A	Dividend	J	T	Open	08/03/17	J		
94. - BHP Billiton LTF Spon Adr	A	Dividend	K	T	Open	08/03/17	J		
95. - Cabot Oil & Gas	A	Dividend	K	T	Open	08/03/17	K		
96. - Enbridge Inc	A	Dividend	K	T	Open	08/03/17	K		
97. - Enterprise Products Partners	A	Distribution	K	T	Open	08/03/17	K		
98. - Energy Transfer Partners		None	K	T	Buy	12/01/17	K		
99. - Johnson & Johnson	A	Dividend	K	T	Open	08/03/17	K		
100. - Mdeley Capital Corp	B	Dividend	K	T	Open	08/03/17	K		
101. - Microsoft Corp	A	Dividend	L	T	Open	08/03/17	L		
102. - National Oil Well Varco Inc	A	Dividend	J	T	Open	08/03/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 22

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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)
103. - Natixis FDS TR II Vaughan Nelson Select FD CL Y	B	Dividend	K	T	Open	08/03/17	K		
104. - Natixis Fund Trust II Vaughan Nelson Value Class Y	A	Dividend	J	T	Open	08/03/17	J		
105. - Plains GP Holdings LP	A	Dividend	J	T	Open	08/03/17	J		
106. - Range Resources	A	Dividend	J	T	Open	08/03/17	J		
107. - Rex Energy		None	J	T	Open	08/03/17	J		
108. - Rio Tinto Plc Spon ADR	A	Dividend	K	T	Open	08/03/17	K		
109. - South32 LTD Spon	A	Dividend	J	T	Open	08/03/17	J		
110. - Southwestern Energy Co		None	K	T	Open	08/03/17	K		
111.					Buy (add'l)	08/03/17	J		
112. - USA Compression Partners LP Com	A	Distribution	K	T	Open	08/03/17	K		
113. - Vanguard Funds Dividend Growth Fund Investor Class	A	Dividend	J	T	Open	08/03/17	J		
114. - Vanguard Specialized Portfolios Energy Port Investor Class	B	Dividend	L	T	Open	08/03/17	L		
115. - Weatherford International PLC WFT		None	J	T	Open	08/03/17	J		
116. - WSFS Financial Corp	A	Dividend	J	T	Open	08/03/17	J		
117. Springside, LLC (2000 - \$300,000, 2012- \$20,123)	A	Interest	P1	W					
118. Middletown Professional Properties, LLC, (2004 - \$80,925)	D	Rent			Sold	06/14/17	P1	G	Debra Delaware LP
119. Trust #15 (H)									

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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. - Johnson & Johnson	A	Dividend							
121. - Microsoft Corp	A	Dividend							
122. - Range Resources Corp	A	Dividend							
123. - Rex Energy Corp		None							
124. - Fairholme FDS Inc		None			Buy (add'l)	03/13/17	J		
125. - Brown Cap Mgmt Mutual FDS Small Co Fund		None							
126. - Vanguard Specialized Portfolios Energy Port Investor	A	Dividend							
127. - Medley Capital Corp	B	Dividend							
128. - National Oil Well Varco Inc	A	Dividend							
129. - Enterprise Products Partners	A	Distribution			Buy (add'l)	06/22/17	J		
130. - Plains GP Holdings LP	A	Dividend							
131. - Weatherford International PLC		None							
132. - BHP Billiton LTF Spon ADR	A	Dividend							
133. - Cabot Oil & Gas	A	Dividend							
134. - Rio Tinto PLC Spon ADR	A	Dividend							
135. - South32 LTD Spon	A	Dividend							
136. - Natixis FDS TR II Vaughan Nelson Select FD CL Y	A	Dividend			Buy (add'l)	01/03/17	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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FINANCIAL DISCLOSURE REPORT

Page 13 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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.					Buy (add'l)	02/03/17	J		
138.					Sold (part)	02/28/17	K	B	
139. - Natixis Funds Trust II Vaughan Nelson Value Class Y		None							
140. - Midcoast Energy Partners LP	A	Distribution			Merged (with line 145)	04/27/17	J		
141. - Spectra Energy Corp	A	Dividend			Merged (with line 145)	02/28/17	K		
142. - USA Compression Partners LP	B	Distribution							
143. - Vanguard Funds Dividend Growth Fund Invst CL	A	Dividend							
144. - Wells Fargo Bank, N.A. Bank Deposit Sweep (x)		None							
145. - Enbridge Inc	A	Dividend							
146. - Pimco Low Duration Income Fund	A	Dividend			Buy	03/03/17	J		
147. - WSFS Financial Corp	A	Dividend			Buy	03/13/17	J		
148. - Enesco Plc		None			Buy	06/06/17	K		
149.					Buy (add'l)	06/22/17	J		
150. - Southwestern Energy Co		None			Buy	07/18/17	J		
151. IRA #3 (H)									
152. - Devon Energy Corp	A	Dividend							
153. - Exxon Mobil Corp	B	Dividend							

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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FINANCIAL DISCLOSURE REPORT

Page 14 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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)
154. - Brown Cap Mgmt Mut FDS Small Co Fund Inv		None			Sold (part)	01/20/17	J	A	
155.					Sold (part)	01/23/17	K	D	
156.					Sold (part)	02/28/17	K	A	
157. - Fairholme FDS Inc	B	Dividend			Buy (add'l)	03/13/17	K		
158. - Harris Assoc Invt TR Oakmark Global Select FD		None			Sold (part)	02/28/17	K	A	
159. - Professionally Manged Portfolio CL Instl Hodges Small Cap		None							
160. - Matthews Intl FD Asian Growth & Income FD	A	Dividend							
161. - Rex Energy Corp		None							
162. - Marine Harvest ASA Sponsored ADR	A	Dividend							
163. - Knot Offshore Partners LP	D	Dividend							
164. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend							
165. - Sunoco LP	C	Dividend							
166. - Miller Invt Trust Convertible BD FD	E	Dividend			Sold (part)	05/01/17	J		
167.					Sold (part)	05/25/17	J		
168.					Sold (part)	06/22/17	N		
169. - Fairholme FDS IN Focused Income FD		None			Buy (add'l)	03/13/17	J		
170. - Artisan Intl Small Cap Fund Investor Series		None			Buy	01/23/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 15 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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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)
171.					Buy (add'l)	05/25/17	J		
172. - Harris Assoc Invnt TR Oakmark Intl Small Cap FD		None			Buy	01/23/17	J		
173.					Buy (add'l)	05/25/17	J		
174. Trust #16 (H)									
175. - Apollo Investment Corp	A	Dividend	J	T					
176. - Blackrock Kelso Capital Corp	B	Dividend	K	T					
177. - Medley Capital Corp	C	Dividend	K	T					
178. - TICC Capital Corp	A	Dividend			Sold	04/04/17	K		
179. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
180. - Golub Cap BDC Inc	C	Dividend	L	T					
181. - TPG Specialty Lending Inc	C	Dividend	K	T					
182. PCM Family LLC	A	Dividend	M	W					
183. The Sequoia Fund	D	Dividend	L	T	Buy (add'l)	01/03/17	J		
184.					Buy (add'l)	02/01/17	J		
185.					Buy (add'l)	03/01/17	J		
186.					Buy (add'l)	04/03/17	J		
187.					Buy (add'l)	05/01/17	J		

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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(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 16 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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)
188.					Buy (add'l)	06/01/17	J		
189.					Buy (add'l)	06/30/17	J		
190.					Buy (add'l)	07/03/17	J		
191.					Buy (add'l)	08/01/17	J		
192.					Buy (add'l)	09/01/17	J		
193.					Buy (add'l)	10/02/17	J		
194.					Buy (add'l)	11/01/17	J		
195.					Buy (add'l)	12/01/17	J		
196. Trust #18 (H)									
197. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
198. - Mc Kinney TX RFDG C/O LTD		None			Sold	11/07/17	L		
199. - West Wilson Util Dist TN WTR WKS Rev	B	Interest	L	T					
200. - Montana ST BRD Regents High Ed Rev	B	Interest	K	T					
201. - Ocean Cnty NJ RFDG SER A G/O Unl TD	B	Interest	L	T					
202. - Port Seattle WA REV RFDG Inter Ser a	B	Interest	L	T	Buy (add'l)	03/09/17	J		
203. - Metropolitan Transn Auth NY Rev	C	Interest	L	T					
204. - New York NY City Transnl Fln Auth Bldg Aid Rev	B	Interest	K	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	
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FINANCIAL DISCLOSURE REPORT

Page 17 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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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)
205. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlgng FD Ser C	C	Interest	L	T					
206. - New York ST Envmntl Facs Corp Rev ST Ser D	B	Interest	L	T					
207. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	C	Interest	L	T					
208. - New York ST Dorm Uth Revs Non ST Supported Debt CPN	B	Interest	L	T					
209. - Idaho Hlth Facs Suth Rev Trinity Health CR Grp	B	Interest			Sold	07/13/17	K	B	
210. - USF Fing Corp FL CTF Partn Rfdg Mstr Lse PG Ser	B	Interest	L	T					
211. - Hawaii St Unrefunded Balance Rfdg Ser Ed	A	Interest	J	T					
212. - Athens Clarke Cnty GA Uni Govt Dev Auth Rev Rfdg Univ GA		None	L	T					
213. - Harris Cnty TX Cultural Ed Facs Fin Corp Med FA CS Rev		None	K	T					
214. Trust #19 (H)									
215. - Bank Deposit Sweep	A	Int./Div.	J	T					
216. - iShares Russell 1000 Value FD	A	Dividend	J	T	Sold (part)	10/10/17	J	A	
217. - iShares Core S&P 500 Index FD	A	Dividend	L	T	Buy (add'l)	10/10/17	J		
218. - SPDR S&P Intl Small Cap		None			Sold	10/10/17	J	B	
219. - Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy (add'l)	10/10/17	J		
220. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend	K	T	Sold (part)	10/10/17	J	A	
221. - Vanguard Mid Cap	A	Dividend	K	T	Sold (part)	10/10/17	J	A	

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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(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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222. - Vanguard REIT	A	Dividend	J	T	Sold (part)	10/10/17	J	A	
223. - Vanguard Small Cap Value VBR	A	Dividend	J	T	Sold (part)	10/10/17	J	A	
224. - Vanguard Small Cap VB	A	Dividend	J	T	Sold (part)	10/10/17	J	A	
225. - Vanguard Total Bond Market BND	A	Dividend	J	T	Buy (add'l)	10/10/17	J		
226. - Vanguard Total Stock Market ETF	A	Dividend	K	T	Buy (add'l)	10/10/17	K		
227. - Vanguard Mid Cap Value Index Fund	A	Dividend			Sold	10/10/17	J	A	
228. IRA #6 (H)									
229. - Invesco Global Real Estate	A	Dividend	K	T	Buy (add'l)	04/06/17	J		
230.					Sold (part)	01/13/17	J		
231. - Deutsche Secs TR Enhanced Commodity Strat FD Instl Class	A	Dividend	J	T	Buy (add'l)	03/06/17	J		
232. - Columbia Select Large Cap Growth Fund CL Z	C	Dividend	K	T	Buy (add'l)	04/06/17	J		
233.					Sold (part)	07/14/17	J		
234. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T	Buy (add'l)	04/06/17	J		
235. - Goldman Sachs TR Finl Square Treas Instrs FD Inst CL	A	Dividend			Sold (part)	01/13/17	J		
236.					Sold	04/06/17	J		
237. - John Hancock FDS II Global Absolute Return Strategies FD CL I		None	J	T	Buy (add'l)	04/06/17	J		
238. - Hotchkis & Wiley FDS Mid Cap Value FD CL I	A	Dividend	J	T	Sold (part)	04/06/17	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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)

239. - John Hancock Funds II Absolute Return Currency FD CL I		None	J	T	Sold (part)	04/06/17	J	A	
240. - Aberdeen Total Return Bnd Fund CL I	B	Dividend			Buy (add'l)	04/06/17	J		
241.					Buy (add'l)	04/07/17	J		
242.					Sold	05/11/17	K		
243. - MFS Ser TR I Value FD	B	Dividend	K	T	Sold (part)	04/06/17	J	A	
244. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	K	T	Buy (add'l)	04/06/17	J		
245. - JP Morgan TR I US Large Cap Core Plus FD SEL CL	D	Dividend	K	T	Sold (part)	04/06/17	J		
246. - Neuberger Berman Alternative FDs Long Short FD Instl CL		None	J	T					
247. - American Europacific Growth FU CL F2	B	Dividend	K	T	Sold (part)	04/06/17	J		
248.					Sold (part)	10/13/17	J	A	
249. - Investment Managers SER TR Oak Ridge Small CP Growth FD CL I		None			Buy (add'l)	04/06/17	J		
250.					Sold	10/10/17	K		
251. - Oppenheimer Dev Mkts CL Y	A	Dividend	K	T	Sold (part)	04/06/17	J	A	
252. - Oppenheimer Intl BD FD CL Y	A	Dividend	J	T	Buy (add'l)	04/06/17	J		
253. - Principal FDS Inc High Yield FD Instl CL	B	Dividend	K	T	Buy (add'l)	04/06/17	J		
254.					Sold (part)	04/06/17	J	A	
255. - Victory Sycamore Small Co Oppty FD CL I	A	Dividend	K	T	Sold (part)	04/06/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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. - AQR FDS Managed Futures Strategy FL CL I		None	J	T	Buy (add'l)	04/06/17	J		
257. - Principal FDS Inc Global Multi Strategy FD Instl CL	A	Dividend	J	T					
258. - Wells Fargo Funds TR Special Mid Cap Value FD CL I	A	Dividend	J	T	Sold (part)	04/06/17	J	A	
259. - American Century Invst TR Diversified BD FD	A	Dividend	K	T	Buy	05/11/17	K		
260.					Buy (add'l)	05/12/17	J		
261.					Buy (add'l)	10/10/17	J		
262.					Buy (add'l)	10/11/17	J		
263. -Brown Advisory FDS Small Cap Growth FD	A	Dividend	K	T	Buy	10/10/17	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
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 21 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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

Asset listed in Part VII, Line 118, has rental activity from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925. This asset was sold June 14, 2017 to Debra Delaware LP and Debra Delaware LLC.

Asset listed in Part VII, Line 117, has rental activity from property located near Newark, DE.

Asset listed in Part VII, Line 182, has rental activity from property located in New Castle County, DE.

Assets listed in Part VII, under IRA Account #2 as open were transferred from IRA Account #3. IRA Account #3 account was closed during 2017.

Assets listed in Part VII, under Trust Account #12 as open were transferred from Trust Account #15. Trust Account #15 was closed during 2017.

Asset listed in Part VII, line 145, Enbridge Inc., was Spectra Energy on prior report. Spectra Energy and Midcoast Energy Partners merged with Enbridge Inc during 2017. This asset was transferred to Trust Account #12 as stated above.

FINANCIAL DISCLOSURE REPORT

Page 22 of 22

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2018

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
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