

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/14/2015
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 01/01/2014 to 12/31/2014
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	Executive Committee, National Bankruptcy Conference
6.	Member (Emeritus)	TriBar Legal Opinion Committee

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. 2014	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. 2014	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. National Association of Consumer Bankruptcy Attorneys	April 11-12, 2014	New York City, NY	22nd Annual Convention, Panelist/Speaker	Transportation
2. Georgetown University	August 26-27, 2014	Washington, DC	Teaching Class	Transportation
3. Georgetown University	September 7-8, 2014	Washington, DC	Teaching Class	Transportation
4. Georgetown University	September 14-15, 2014	Washington, DC	Teaching Class	Transportation
5. Georgetown University	September 20-22, 2014	Washington, DC	Teaching Class	Transportation

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6.	Georgetown University	September 28-29, 2014	Washington, DC	Teaching Class	Transportation
7.	Georgetown University	October 5-6, 2014	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	October 19-20, 2014	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	October 26-27, 2014	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	October 30, 2014	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	November 3, 2014	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 9-10, 2014	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	November 16-17, 2014	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	November 23-24, 2014	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	December 1, 2014	Washington, DC	Teaching Class	Transportation
16.	Georgetown University	December 9-10, 2014	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 304)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 304)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 304)	P1
4.			
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	J	T					
2. M&T Bank Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor		None			Redeemed	05/13/14	J		
4. Trust Account #6	D	Dividend	M	T					
5. - Harris Assoc Oakmark I					Sold (part)	07/03/14	J	B	
6. - WF Advantage Municipal Money Market									
7. IRA Account #1	C	Dividend	N	T					
8. - Oakmark Fund Class I (Y)									
9. - iShares Core S&P Midcap					Sold	02/03/14	M	B	
10. - iShares Core S&P 500 Index					Sold	02/03/14	M		
11. - Proshares Untra Midcap 400					Sold	05/03/14	L	B	
12. - Proshares Ultra S&P 500					Sold (part)	02/03/14	L		
13.					Sold (part)	03/04/14	L		
14.					Sold	04/14/14	L		
15. - First TR Emerging ET Markets Alphadex Fund					Buy	04/14/14	K		
16.					Buy (add'l)	04/28/14	J		
17.					Buy (add'l)	06/09/14	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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☐ 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)

18.					Buy (add'l)	07/07/14	J		
19.					Sold (part)	08/04/14	J	A	
20.					Sold (part)	09/02/14	J	A	
21.					Sold (part)	09/29/14	J		
22.					Sold (part)	10/13/14	J		
23.					Sold (part)	10/20/14	J		
24.					Buy (add'l)	11/03/14	K		
25.					Sold (part)	12/01/14	J		
26.					Buy (add'l)	12/08/14	J		
27.					Sold (part)	12/30/14	J		
28.	- First TR Enhanced Short Maturity				Buy	10/28/14	M		
29.					Buy (add'l)	11/03/14	L		
30.					Sold (part)	12/01/14	L		
31.					Sold (part)	12/08/14	K		
32.					Sold (part)	12/29/14	L		
33.	- First TR Exchange ET Traded Alphadex FD II Eurozone ETF				Buy	12/01/14	L		
34.					Buy (add'l)	12/08/14	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Buy (add'l)	12/29/14	J		
36. - First Trust ET Financial Alphadex Fund					Buy	04/14/14	K		
37.					Sold (part)	06/09/14	J	A	
38.					Sold (part)	06/16/14	J	A	
39.					Buy (add'l)	07/07/14	J		
40.					Sold (part)	07/21/14	J	A	
41.					Buy (add'l)	07/28/14	J		
42.					Sold (part)	08/11/14	J	A	
43.					Sold (part)	08/18/14	J	A	
44.					Buy (add'l)	09/02/14	J		
45.					Buy (add'l)	09/29/14	J		
46.					Buy (add'l)	10/13/14	J		
47.					Sold (part)	10/20/14	K		
48.					Buy (add'l)	12/08/14	K		
49.					Buy (add'l)	12/09/14	K		
50.					Sold (part)	12/29/14	J	A	
51. - First Trust Utilities Alphadex Fund					Buy	06/17/14	K		

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52.					Buy (add'l)	07/07/14	J		
53.					Sold (part)	07/21/14	J	A	
54.					Buy (add'l)	07/28/14	J		
55.					Sold (part)	08/04/14	K		
56.					Buy (add'l)	12/29/14	K		
57.					Buy (add'l)	12/30/14	K		
58.					Buy (add'l)	12/31/14	J		
59.	- First Trust Consumer Discretionary Alphadex Fund				Buy	08/04/14	K		
60.					Sold (part)	08/11/14	J		
61.					Sold (part)	08/18/14	J	A	
62.					Buy (add'l)	09/02/14	J		
63.					Buy (add'l)	09/29/14	J		
64.					Sold (part)	10/13/14	K		
65.					Buy (add'l)	12/29/14	K		
66.					Buy (add'l)	12/30/14	K		
67.	- First Trust Consumer ET Staples Alphadex Fund				Buy	06/17/14	K		
68.					Buy (add'l)	07/07/14	J		

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69.					Sold (part)	07/21/14	J		
70.					Sold (part)	07/28/14	K		
71.					Buy (add'l)	08/11/14	K		
72.					Sold (part)	08/18/14	J	A	
73.					Buy (add'l)	09/02/14	J		
74.					Buy (add'l)	09/29/14	J		
75.					Buy (add'l)	10/13/14	J		
76.					Buy (add'l)	10/20/14	K		
77.					Sold (part)	11/03/14	J	A	
78.					Sold (part)	12/09/14	J	A	
79.					Sold (part)	12/30/14	J	B	
80.	- First Trust Technology ET Alphadex Fund				Buy	04/14/14	K		
81.					Sold (part)	06/09/14	J	A	
82.					Sold (part)	06/16/14	J	A	
83.					Buy (add'l)	07/07/14	J		
84.					Sold (part)	07/21/14	J	A	
85.					Buy (add'l)	07/28/14	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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86.					Sold (part)	08/11/14	J	A	
87.					Sold (part)	08/18/14	J	A	
88.					Buy (add'l)	09/02/14	J		
89.					Buy (add'l)	09/29/14	J		
90.					Buy (add'l)	10/13/14	J		
91.					Buy (add'l)	10/20/14	K		
92.					Sold (part)	10/27/14	J	A	
93.					Sold (part)	11/03/14	J	A	
94.					Sold (part)	12/09/14	J	A	
95.					Sold (part)	12/30/14	J	B	
96. - iShares 1-3 YR Treasury Bond					Buy	02/03/14	M		
97.					Sold	03/04/14	M		
98. - iShares 3-7 YR Treasury Bond					Buy	02/03/14	M		
99.					Sold	03/04/14	M		
100. - Proshares Trust Ultra 7-10 YR Treasury Non-Traditional					Buy	02/03/14	M		
101.					Sold	03/04/14	M		
102. - iShares Russell 2000					Buy	03/04/14	M		

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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 \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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103.					Sold	04/14/14	M		
104. - iShares Core S&P 500					Buy	03/04/14	M		
105.					Sold	04/14/14	M		
106. - Ultra Russell 2000 Proshares Non-Traditional					Buy	03/04/14	L		
107.					Sold	04/14/14	L		
108. - Pimco ETF Trust Enhanced Short Term Maturity					Buy	04/14/14	K		
109.					Sold (part)	04/28/14	K	A	
110.					Sold (part)	06/02/14	K		
111.					Buy (add'l)	10/20/14	L		
112.					Sold	10/28/14	L		
113. - First Trust Industrials/ Producer Durables Alphadex Fund					Buy	06/09/14	K		
114.					Sold (part)	06/16/14	J		
115.					Sold (part)	07/07/14	K		
116.					Buy (add'l)	07/21/14	K		
117.					Sold (part)	07/28/14	K		
118.					Buy (add'l)	08/19/14	K		
119.					Buy (add'l)	09/02/14	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.					Buy (add'l)	09/29/14	J		
121.					Buy (add'l)	10/13/14	J		
122.					Sold	10/20/14	K		
123. - First Trust Health Career Alphadex Fund					Buy	04/14/14	K		
124.					Sold (part)	06/09/14	J	A	
125.					Sold (part)	06/16/14	J	A	
126.					Buy (add'l)	07/07/14	J		
127.					Sold (part)	07/21/14	J	A	
128.					Buy (add'l)	07/28/14	J		
129.					Sold (part)	08/11/14	J	A	
130.					Sold (part)	08/18/14	J	A	
131.					Buy (add'l)	09/02/14	J		
132.					Buy (add'l)	09/29/14	J		
133.					Buy (add'l)	10/13/14	J		
134.					Sold	10/20/14	K	B	
135. - First Trust Material ETF Alphadex Fund					Buy	04/14/14	K		
136.					Sold (part)	06/09/14	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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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)
137.					Sold (part)	06/16/14	J	A	
138.					Buy (add'l)	07/07/14	J		
139.					Sold (part)	07/21/14	J	A	
140.					Buy (add'l)	07/28/14	J		
141.					Sold (part)	08/11/14	J	A	
142.					Sold (part)	08/18/14	J	A	
143.					Buy (add'l)	09/02/14	J		
144.					Buy (add'l)	09/29/14	J		
145.					Buy (add'l)	10/13/14	J		
146.					Buy (add'l)	10/20/14	K		
147.					Sold (part)	10/27/14	K		
148.					Sold	10/28/14	K	A	
149. - First Trust Energy ETF Alphadex Fund					Buy	04/14/14	K		
150.					Sold (part)	06/09/14	J	A	
151.					Sold (part)	06/16/14	J	A	
152.					Buy (add'l)	07/07/14	J		
153.					Sold (part)	07/21/14	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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)
154.					Buy (add'l)	07/28/14	J		
155.					Sold (part)	08/11/14	J	A	
156.					Sold (part)	08/18/14	J	A	
157.					Buy (add'l)	09/02/14	J		
158.					Sold	09/29/14	K		
159. - First Trust Canada Alphadex Fund					Buy	04/14/14	K		
160.					Buy (add'l)	07/07/14	J		
161.					Buy (add'l)	09/02/14	J		
162.					Sold (part)	09/29/14	J		
163.					Sold	11/03/14	K		
164. - First Trust Asia Pacific EX - Japan Alphadex Fund					Buy	04/14/14	J		
165.					Buy (add'l)	04/28/14	J		
166.					Buy (add'l)	09/02/14	J		
167.					Sold (part)	09/29/14	J	A	
168.					Sold (part)	10/13/14	J	A	
169.					Sold	11/03/14	K		
170. - First Trust Europe Alphadex Fund					Buy	04/14/14	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 \$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)
171.					Buy (add'l)	06/09/14	J		
172.					Buy (add'l)	07/07/14	J		
173.					Sold (part)	08/11/14	J		
174.					Sold (part)	09/02/14	J		
175.					Sold (part)	09/29/14	J		
176.					Sold (part)	10/13/14	J		
177.					Sold (part)	10/20/14	J		
178.					Sold	11/03/14	K		
179. - First Trust Japan Alphadex Fund					Buy	06/02/14	K		
180.					Sold	09/02/14	K	A	
181. - First Trust Switzerland ETF Alphadex Fund					Buy	09/02/14	K		
182.					Sold (part)	09/29/14	J		
183.					Sold (part)	10/20/14	J		
184.					Sold	11/03/14	K		
185. - First Trust United Kingdom Alphadex Fund					Buy	09/29/14	K		
186.					Sold	11/03/14	K		
187. IRA Account #2	E	Int./Div.	P1	T					

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		

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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)
188. - Fairholme Fund					Sold (part)	07/07/14	J	B	
189.					Buy (add'l)	07/09/14	L		
190.					Buy (add'l)	08/12/14	K		
191.					Sold (part)	11/04/14	L		
192. - WHV International Equity FD CL					Buy (add'l)	07/08/14	J		
193.					Buy (add'l)	07/09/14	L		
194.					Buy (add'l)	08/12/14	K		
195.					Buy (add'l)	11/05/14	J		
196.					Sold (part)	11/04/14	L		
197. - Dodge & Cox Intl Stock FD					Sold (part)	07/07/14	J	A	
198.					Buy (add'l)	07/10/14	K		
199.					Buy (add'l)	08/12/14	K		
200. - Federated Strategic Value Dividend FD					Sold (part)	01/06/14	J	A	
201.					Sold (part)	07/07/14	J	B	
202.					Buy (add'l)	07/09/14	L		
203.					Buy (add'l)	08/12/14	K		
204.					Sold (part)	10/10/14	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		
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		

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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)
205.					Sold (part)	11/04/14	J	B	
206. - Natixis fds TR I Oakmark Intl FD					Sold (part)	07/07/14	J	A	
207.					Buy (add'l)	07/09/14	K		
208.					Buy (add'l)	08/12/14	K		
209. - Brandes Invt TR Instl Emerging Mkts FD					Buy (add'l)	07/09/14	K		
210.					Sold (part)	07/07/14	K	A	
211.					Buy (add'l)	08/12/14	K		
212.					Buy (add'l)	11/10/14	J		
213.					Sold (part)	11/04/14	K	A	
214. - Matthews Asia Dividend FD					Sold (part)	07/07/14	J	A	
215.					Buy (add'l)	07/09/14	K		
216.					Buy (add'l)	08/12/14	K		
217.					Sold (part)	11/04/14	K	B	
218. - Primecap Odyssey FDS Aggressive Growth FD					Sold (part)	01/06/14	J	B	
219.					Sold (part)	07/07/14	J	B	
220.					Buy (add'l)	07/09/14	L		
221.					Buy (add'l)	08/12/14	K		

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		

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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)

222.					Sold (part)	09/17/14	J	B	
223.					Sold (part)	11/04/14	L	D	
224. - Northern Lts FD TR III Good Harbor US Tactical Core Fund					Sold (part)	01/05/14	J	A	
225.					Sold (part)	07/03/14	K	A	
226.					Buy (add'l)	07/07/14	J		
227.					Buy (add'l)	07/09/14	K		
228.					Buy (add'l)	08/12/14	K		
229.					Sold	11/04/14	L		
230. - Mainstay FDS TR Marketfield FD CL I					Sold (part)	01/06/14	J	A	
231.					Sold (part)	07/07/14	J		
232.					Buy (add'l)	07/09/14	K		
233.					Buy (add'l)	08/12/14	K		
234.					Sold	11/04/14	L		
235. - Blackrock FDS Emerging MKT Long/ Short Equity FD					Sold	02/24/14	J		
236. - Virtus Opportunities Trust					Sold (part)	01/06/14	J	A	
237.					Sold (part)	07/07/14	K	C	
238.					Buy (add'l)	07/09/14	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	

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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)

239.					Buy (add'l)	08/12/14	K		
240.					Sold (part)	11/04/14	K	A	
241. - Pimco Equity SER					Buy	01/06/14	K		
242.					Sold (part)	07/07/14	J	A	
243. - Pimco All Asset All Authority					Buy (add'l)	07/09/14	K		
244.					Buy (add'l)	08/12/14	K		
245.					Sold (part)	11/04/14	K		
246. - Neuberger Berman Alternative FDS					Buy	07/07/14	J		
247.					Buy (add'l)	07/09/14	K		
248.					Buy (add'l)	08/12/14	K		
249.					Sold (part)	11/04/14	K		
250. - Primecap Odyssey Growth					Buy	07/07/14	K		
251.					Buy (add'l)	07/09/14	L		
252.					Buy (add'l)	08/12/14	K		
253.					Sold (part)	09/17/14	J	A	
254.					Sold (part)	11/04/14	J	A	
255. - Virtus Emerging Markets Opportunities Fund					Buy	07/08/14	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)
256.					Buy (add'l)	07/09/14	K		
257.					Buy (add'l)	08/12/14	K		
258.					Sold (part)	11/04/14	K		
259. - JP Morgan TR I Strategic Income Opportunity					Buy	11/04/14	L		
260. - Nuveen Invst FDS Inc Real Asset Income FD					Buy	11/04/14	L		
261. - Pimco All Asset Fund Inst CL					Buy	11/04/14	L		
262. - Arbitrage FD CL 1					Buy	11/05/14	K		
263. - Dodge & Cox Stock FD					Buy	11/05/14	M		
264. - Dodge & Cox Income FD					Buy	11/05/14	L		
265. - Doubleline FDS TR Total Return BD FD					Buy	11/05/14	L		
266. Trust Account #12	E	Int./Div.	O	T					
267. - Fairholme Fund					Sold (part)	11/04/14	K	D	
268. - WHV International Equity FD					Buy (add'l)	07/15/14	K		
269.					Sold (part)	11/04/14	K	C	
270. -Federated Strategic Value Dividend Fund Instl					Sold (part)	07/15/14	J	C	
271.					Sold (part)	11/04/14	J	A	
272. - Brandes Invst TR Inst Emerging Mkts FD					Sold (part)	11/04/14	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	

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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. - Dodge & Cox Intl Stock FD									
274. - Matthews Asia Dividend FD					Buy (add'l)	07/15/14	J		
275.					Sold (part)	11/04/14	J	B	
276. - Natixis FDS TR I Oakmark Intl FD CL A					Buy (add'l)	07/15/14	J		
277.					Buy (add'l)	11/05/14	J		
278. - Primecap Odyssey FDS Aggressive Growth FD					Sold (part)	07/15/14	J	C	
279.					Sold (part)	11/04/14	K	D	
280. - Northern Lts FD TR III Good harbor US Tactical Core Fund					Sold (part)	02/12/14	L	B	
281.					Buy (add'l)	07/15/14	K		
282.					Sold	11/04/14	K		
283. - Mainstay FDS TR Marketfield FD					Sold (part)	07/15/14	K		
284.					Sold	11/04/14	K		
285. - Blackrock FDS Emerging MKT Equity FD Instl Shs					Sold	02/24/14	K		
286. - Virtus Opportunities Trust					Sold (part)	07/15/14	K	D	
287.					Sold (part)	11/04/14	J	A	
288. - Pimco Equity SER					Buy	02/14/14	L		
289.					Sold (part)	07/15/14	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 \$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)	11/04/14	J		
291. - Neuberger Berman Alternative FDS					Buy	07/15/14	K		
292.					Sold (part)	11/04/14	J		
293. - Virtus Emerging Markets Opportunities FD					Buy	07/15/14	K		
294.					Sold (part)	11/04/14	J		
295. - Primecap Odyssey Growth					Buy	07/15/14	K		
296.					Buy (add'l)	11/05/14	J		
297. -JP Morgan TR I Strategic Income Opportunity					Buy	11/04/14	K		
298. - Nuveen Invt FDS Inc Real Asset Income					Buy	11/04/14	K		
299. - Pimco All Asset Fund Instl CL					Buy	11/04/14	K		
300. - Arbitrage FD					Buy	11/05/14	K		
301. - Dodge & Cox Stock Fund					Buy	11/05/14	L		
302. - Dodge & Cox Income Fund					Buy	11/05/14	K		
303. - Doubleline FDS TR Total Return BD FD					Buy	11/05/14	K		
304. Springside, LLC (2000 - \$300,000, 2012- \$20,123)	D	Rent	P1	W					
305. Middletown Professional Properties, LLC, (2004 - \$80,925)	E	Rent	O	W					
306. Trust #15	D	Int./Div.	N	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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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. - Johnson & Johnson					Donated (part)				
308. - Microsoft Corp									
309. - Range Resources Corp									
310. - Rex Energy Corp					Buy (add'l)	01/06/14	J		
311.					Buy (add'l)	09/25/14	J		
312.					Buy (add'l)	10/16/14	K		
313.					Buy (add'l)	11/07/14	J		
314. - The St Joe Company					Sold	02/12/14	K		
315. - Fairholme FDS Inc					Buy (add'l)	01/06/14	J		
316.					Sold (part)	09/25/14	K	D	
317. - Brown Cap Mgmt Mutual FDS Small Co Fund					Buy	01/16/14	J		
318.					Buy (add'l)	02/03/14	J		
319.					Buy (add'l)	03/03/14	J		
320.					Buy (add'l)	04/03/14	J		
321.					Buy (add'l)	05/05/14	J		
322.					Buy (add'l)	06/03/14	J		
323.					Sold (part)	09/25/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	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)

324. - Market Vectors Gold ETF Miners					Buy	02/12/14	M		
325.					Sold	09/25/14	M		
326. - Sandridge Energy Inc					Buy	03/11/14	J		
327.					Sold	09/08/14	J		
328. - Ultra Petroleum Corp					Buy	04/01/14	J		
329.					Sold	09/25/14	J		
330. - Consol Energy Inc					Buy	04/10/14	J		
331.					Buy (add'l)	04/14/14	J		
332.					Sold	09/25/14	K		
333. - Vanguard Specialized Portfolios Energy Port Investor					Buy	07/02/14	K		
334.					Buy (add'l)	07/03/14	J		
335.					Buy (add'l)	08/04/14	J		
336.					Buy (add'l)	09/03/14	J		
337.					Buy (add'l)	09/22/14	J		
338.					Sold (part)	09/25/14	K		
339.					Buy (add'l)	12/03/14	K		
340.					Buy (add'l)	12/15/14	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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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)
341. - Medley Capital Corp					Buy	09/25/14	K		
342. - Pennantpark Investment Corp					Buy	09/25/14	K		
343. - Prospect Capital Corp					Buy	09/25/14	K		
344. - Matthews Intl FD Asian Growth & Income					Buy	09/08/14	J		
345.					Sold	09/25/14	J		
346. - BP Plc Spons ADR					Buy	11/07/14	K		
347. - National Oil Well Varco Inc					Buy	12/15/14	K		
348. - Enterprise Products Partners					Buy	12/31/14	K		
349. - Plains GP Holdings LP					Buy	12/31/14	K		
350. - Weatherford International PLC					Buy	01/03/14	J		
351. IRA #3	E	Int./Div.	N	T					
352. - Devon Energy Corp					Sold (part)	02/12/14	K		
353.					Buy (add'l)	03/06/14	J		
354. - Exxon Mobil Corp									
355. - Brown Cap Mgmt Mut FDS Small Co Fund Inv					Buy (add'l)	01/14/14	K		
356. - Marine Harvest - Unspn ADR					Merged (with line 367)	01/28/14	J		
357. - The St Joe Company					Sold	02/12/14	J	B	

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)
358. - Fairholme FDS Inc									
359. - Market Vectors Gold ETF Miners					Buy	02/12/14	L		
360.					Sold	09/08/14	L		
361. - Harris Assoc Invt TR Oakmark Global Select FD					Buy	07/03/14	K		
362. - Professionally Manged Portfolio CL Instl Hodges Small Cap					Buy	07/24/14	J		
363. - Matthews Intl FD Asian Growth & Income FD					Buy	07/29/14	L		
364.					Buy (add'l)	09/10/14	L		
365. - Virtus Opportunities Trust - Virtus Synamic Alphasector FD					Buy	07/29/14	L		
366. - Rex Energy Corp					Buy	09/17/14	K		
367. - Marine Harvest ASA Sponsored ADR									
368. IRA #4	D	Int./Div.			Closed	11/03/14	J		
369. - iShares Core S&P Midcap ETF					Sold (part)	02/03/14	O	D	
370.					Buy (add'l)	06/17/14	M		
371.					Sold (part)	06/30/14	M	A	
372.					Buy (add'l)	07/01/14	L		
373.					Sold (part)	07/16/14	L		
374.					Sold	08/01/14	L		

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	

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)
375. - Proshares Ultra ET Midcap 400 Non-Traditional ETF					Sold (part)	02/03/14	N	D	
376.					Buy (add'l)	06/17/14	L		
377.					Sold (part)	06/30/14	K	A	
378.					Buy (add'l)	07/01/14	K		
379.					Sold (part)	07/16/14	K		
380.					Sold	08/01/14	K		
381. - iShares Core S&P 500					Sold (part)	02/03/14	O		
382.					Buy (add'l)	03/04/14	O		
383.					Sold (part)	04/08/14	M		
384.					Sold (part)	05/20/14	M	A	
385.					Sold (part)	06/30/14	M	C	
386.					Buy (add'l)	04/16/14	L		
387.					Buy (add'l)	08/01/14	L		
388.					Sold	08/07/14	M		
389. - Proshares Ultra S&P ET 500					Sold (part)	02/03/14	N		
390.					Buy (add'l)	03/04/14	N		
391.					Sold (part)	04/08/14	M		

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		

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Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/14/2015

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)
392.					Sold (part)	05/20/14	M	B	
393.					Sold (part)	06/30/14	L	C	
394.					Sold (part)	07/1/14	M	D	
395.					Buy (add'l)	07/16/14	K		
396.					Buy (add'l)	08/01/14	K		
397.					Sold	08/07/14	L		
398. - iShares 1-3 YR Treasury Bond					Buy	02/03/14	O		
399.					Sold	03/04/14	O		
400.					Buy	08/01/14	L		
401.					Sold	08/07/14	L	A	
402. - iShares 3-7 YR Treasury Bond					Buy	02/03/14	O		
403.					Sold	03/04/14	O		
404.					Buy	08/01/14	K		
405.					Sold	08/07/14	K	A	
406. - Proshares Trust Ultra 7-10 YR Treasury Non-Traiditonal					Buy	02/03/14	O		
407.					Sold	03/04/14	O		
408.					Buy	05/01/14	L		

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	

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)
409.					Buy (add'l)	05/20/14	M		
410.					Sold (part)	06/17/14	M		
411.					Sold (part)	06/30/14	K		
412.					Sold	07/01/14	K		
413.					Buy	07/16/14	K		
414.					Sold	08/07/14	K	A	
415. - iShares Russell 2000					Buy	03/04/14	O		
416.					Sold (part)	04/08/14	M		
417.					Sold (part)	05/01/14	M		
418.					Sold	05/20/14	M		
419.					Buy	06/17/14	M		
420.					Sold (part)	06/30/14	M	B	
421.					Buy (add'l)	07/01/14	L		
422.					Sold (part)	07/16/14	L		
423.					Sold	08/01/14	L		
424. - Ultra Russell 2000 Proshares ETF 2x Non-Traditional ETF					Buy	03/04/14	N		
425.					Sold (part)	04/08/14	M		

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		

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 I (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)
426.					Sold (part)	05/01/14	L		
427.					Sold	05/20/14	L		
428.					Buy	06/17/14	L		
429.					Sold (part)	06/30/14	K	B	
430.					Buy (add'l)	07/01/14	K		
431.					Sold (part)	07/16/14	K		
432.					Sold	08/01/14	K		
433. - iShares 7-10YR Treasury Bond					Buy	05/01/14	M		
434.					Buy (add'l)	05/20/14	N		
435.					Sold (part)	06/17/14	N		
436.					Sold (part)	06/30/14	M	A	
437.					Sold	07/01/14	L		
438.					Buy	07/16/14	L		
439.					Sold	08/07/14	L	A	
440. Trust #16	F	Int./Div.	P1	T					
441. - Apollo Investment Corp					Sold (part)	02/20/14	K	B	
442. - Blackrock Kelso Capital Corp					Buy (add'l)	03/20/14	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 \$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	

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)

443.					Buy (add'l)	04/21/14	J		
444.					Sold (part)	12/11/14	J		
445. - Centrylink Inc					Sold (part)	01/21/14	J		
446.					Sold	02/05/14	J		
447. - Cisco Systems Inc					Sold	02/05/14	J	A	
448. - Cypress Semiconductor Corp					Sold (part)	02/03/14	J		
449.					Sold	02/05/14	J		
450. - General Electric Company					Sold	02/05/14	J	A	
451. - Marvell Technology Group LTD					Sold	02/05/14	J	B	
452. - Microsoft Corp					Sold	01/13/14	K	C	
453. - Prospect Capital Corp					Buy (add'l)	03/20/14	J		
454.					Sold (part)	12/05/14	J		
455. - Telefonica SA Spon ADR					Sold	02/03/14	J	A	
456. - Whitestone Reit									
457. - Alerian MLP					Sold	10/10/14	K	B	
458. - American Capital Mortgage Investment Corp									
459. - American Realty Capital Properties Inc					Buy (add'l)	10/29/14	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 \$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)

460.					Sold (part)	12/01/14	J		
461.					Sold	12/24/14	J		
462. - AT&T Inc					Sold	02/05/14	K		
463. - BCE Inc					Sold	02/05/14	J		
464. - Conagra Foods Inc					Sold	02/05/14	J		
465. - Deere & Co					Sold (part)	01/09/14	K	A	
466.					Sold	02/05/14	J	A	
467. - Einstein Noah Restaurant Group					Sold	02/05/14	J		
468. - Enduro Royalty Trust					Sold	05/20/14	J		
469. - Energy Select Sector SPDR					Sold (part)	01/05/14	K	A	
470.					Buy (add'l)	01/30/14	L		
471.					Sold (part)	02/03/14	L		
472.					Sold (part)	03/10/14	K	A	
473.					Buy (add'l)	09/25/14	K		
474.					Sold	10/10/14	K		
475. - Ericsson Tel-SP ADR New					Sold	02/05/14	J	A	
476. - Fifth Street Finance Corp									

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477. - Franklin Street Properties Corp REIT FSP					Sold	10/22/14	J		
478. - HCP Inc					Sold	07/31/14	K	B	
479. - Hospitality Properties REIT Trust					Sold	05/05/14	J	B	
480. - Independence Realty TR Inc					Buy (add'l)	01/24/14	J		
481.					Buy (add'l)	11/21/14	J		
482. - Intel Corp					Sold	02/05/14	J	A	
483. - iShares Mortgage Real Estate					Sold (part)	12/24/14	J		
484. - Kellogg Company					Sold	02/05/14	J		
485. - Maxim Integrated Prods Inc					Sold	02/05/14	J	A	
486. - Medley Capital Corp					Buy (add'l)	03/17/14	J		
487.					Buy (add'l)	10/10/14	J		
488.					Buy (add'l)	09/30/14	J		
489.					Buy (add'l)	12/05/14	J		
490. - Newmont Mining Corp New					Sold	02/05/14	J		
491. - Pengrowth Energy Corp					Sold	05/07/14	K	C	
492. - Pennantpark Investment Corp					Buy (add'l)	06/27/14	J		
493.					Buy (add'l)	09/08/14	J		

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494.					Buy (add'l)	09/24/14	J		
495. - Pfizer Incorporated					Sold (part)	01/27/14	J	A	
496.					Sold	02/05/14	J	A	
497. - Proshares TR Ultrashort Non-Traditional ETP					Sold	01/15/14	K		
498. - Proshares TR Ultrashort 20+ Year Treasury					Sold (part)	01/10/14	K	B	
499.					Buy (add'l)	02/12/14	K		
500.					Sold (part)	05/28/14	K		
501.					Buy (add'l)	07/31/14	K		
502.					Sold	10/16/14	J		
503. - Royal Dutch Shell PLC ADR					Sold	01/13/14	J	B	
504. - Safeway Inc New					Sold	02/05/14	J		
505. - SPDR S&P International ET Dividend					Sold	01/24/14	J		
506. - TICC Capital Corp					Sold (part)	02/20/14	J	A	
507.					Buy (add'l)	03/14/14	J		
508. - Transocean LTD Ordinary Shares					Sold (part)	01/03/14	J		
509.					Sold	02/05/14	J		
510. - Vodafone Group PLC Sponsored ADR New					Sold	01/13/14	J	C	

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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)

511. - Campus Crest Cmmtys Inc					Buy	01/02/14	J		
512.					Sold	10/08/14	J		
513. - Proshares Trust Ultrashort S&P 500					Buy	01/17/14	K		
514.					Buy (add'l)	01/24/14	K		
515.					Buy (add'l)	01/29/14	K		
516.					Sold (part)	01/30/14	K	B	
517.					Buy (add'l)	01/31/14	K		
518.					Buy (add'l)	02/14/14	K		
519.					Sold (part)	02/07/14	K		
520.					Buy (add'l)	03/13/14	K		
521.					Buy (add'l)	04/28/14	K		
522.					Sold (part)	06/09/14	K		
523.					Buy (add'l)	07/01/14	L		
524.					Sold (part)	07/23/14	K		
525.					Sold (part)	09/18/14	K		
526.					Sold (part)	09/24/14	K		
527.					Sold (part)	10/03/14	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

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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)
528.					Sold (part)	10/10/14	L		
529.					Buy (add'l)	11/28/14	K		
530.					Sold (part)	12/05/14	K		
531. - CYS Investments Inc					Buy	02/03/14	J		
532.					Buy (add'l)	07/01/14	J		
533. - Dynex Cap Inc					Buy	02/03/14	J		
534.					Sold	02/20/14	J	A	
535. - Sector SPDR TR Technology Select Sector					Buy	02/03/14	L		
536.					Sold (part)	03/10/14	K	C	
537. - Proshares Short S&P 500					Buy	02/03/14	M		
538.					Sold (part)	04/21/14	L		
539.					Sold (part)	05/12/14	L		
540.					Buy (add'l)	08/25/14	L		
541.					Buy (add'l)	09/10/14	K		
542.					Buy (add'l)	09/24/14	K		
543. - Telefonica Brasil SA Sponsored ADR					Buy	02/03/14	J		
544.					Sold	02/05/14	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	

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)
545. - Two Harbors Invst Corp					Buy	02/03/14	L		
546.					Sold (part)	02/20/14	K	A	
547.					Sold (part)	12/24/14	J	A	
548. - iShares U.S. Telecommunications					Buy	02/05/14	K		
549. - iShares North American Tech-Multimedia Networking					Buy	02/05/14	K		
550. - Market Vectors Trust Semiconductor					Buy	02/05/14	L		
551. - Market Vectors Gold ETF Miners					Buy	02/05/14	J		
552. - Financial Select Sector SPDR					Buy	02/05/14	J		
553.					Buy (add'l)	03/10/14	K		
554. - Industrial Select Sector SPDR					Buy	02/05/14	K		
555.					Buy (add'l)	03/10/14	J		
556. - Select Sector SPDR TR Consumer Staples					Buy	02/05/14	K		
557.					Buy (add'l)	03/10/14	K		
558. - Select Sector SPDR FD Health Care					Buy	02/05/14	K		
559. - SPDR S&P Oil & Gas Equipment & Services					Buy	02/05/14	J		
560. - Spider S&P Intl Telecom Sector					Buy	02/05/14	K		
561. - Proshares Trust Ultrashort Russell 2000					Buy	04/04/14	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	

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)
562.					Sold (part)	04/08/14	K	A	
563.					Buy (add'l)	06/24/14	K		
564.					Sold (part)	07/01/14	J		
565.					Sold	09/25/14	K	B	
566. - Senior Housing Prop TR REIT					Buy	04/21/14	K		
567.					Buy (add'l)	05/28/14	J		
568. - Proshares Trust Ultrashort QQQ New					Buy	05/28/14	K		
569.					Sold (part)	06/24/14	J		
570.					Buy (add'l)	07/25/14	K		
571.					Buy (add'l)	07/31/14	K		
572.					Sold (part)	08/05/14	K	A	
573.					Buy (add'l)	09/30/14	K		
574.					Buy (add'l)	10/08/14	K		
575.					Buy (add'l)	10/10/14	K		
576.					Buy (add'l)	10/23/14	J		
577.					Sold (part)	10/14/14	L	C	
578.					Sold (part)	10/20/14	K	A	

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

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)
579.					Buy (add'l)	12/09/14	K		
580.					Buy (add'l)	12/12/14	K		
581.					Sold (part)	12/17/14	K	A	
582. - Invesco Mortgage Cap Inc					Buy	07/01/14	J		
583. - Select Sector SPDR FD Consumer Discretionary					Buy	10/03/14	K		
584.					Buy (add'l)	10/16/14	K		
585.					Sold (part)	11/06/14	L	B	
586. - Fifth Street Senior FLTG Rate Corp					Buy	09/24/14	J		
587.					Buy (add'l)	10/10/14	J		
588. - SPDR S&P Retail					Buy	10/16/14	K		
589.					Sold	11/06/14	K	C	
590. - SPDR S&P International ETF					Buy	09/18/14	J		
591.					Buy	09/30/14	J		
592. - iShares 3-7 YR Treasury Bond					Buy	11/20/14	L		
593.					Sold	12/11/14	L	A	
594. - SPDR Dow Jones INDL ETF					Buy	11/20/14	K		
595.					Sold (part)	12/11/14	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 \$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	

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)
596. - Powershares FD TR II ETF CEF Incm Composite Port					Buy	12/01/14	L		
597.					Buy (add'l)	12/17/14	J		
598. Trust #17	D	Int./Div.	M	T					
599. - Alerian MLP					Sold	10/10/14	J	A	
600. - American Capital Mortgage Investment Corp									
601. - American Realty Capital Properties Inc					Buy (add'l)	10/29/14	J		
602.					Sold (part)	12/01/14	J		
603.					Sold	12/24/14	J		
604. - Apollo Investment Corp					Sold (part)	02/20/14	J	A	
605. - AT&T Inc					Sold	02/05/14	J		
606. - BCE Inc					Sold	02/05/14	J		
607. - Blackrock Kelso Capital Corp					Buy (add'l)	03/20/14	J		
608.					Buy (add'l)	04/21/14	J		
609.					Sold (part)	12/24/14	J		
610. - Cisco Systems Inc					Sold	02/05/14	J	A	
611. - Conagra Foods Inc					Sold	02/05/14	J		
612. - Deere & Co					Sold (part)	01/09/14	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	

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)
613.					Sold	02/05/14	J		
614. - Dynex Cap Inc					Sold	02/20/14	J		
615. - Einstein Noah Restaurant Group					Sold	02/05/14	J		
616. - Enduro Royalty Trust					Sold	05/05/14	J		
617. - Energy Select Sector SPDR					Sold (part)	01/02/14	J	A	
618.					Buy (add'l)	01/30/14	J		
619.					Sold (part)	02/03/14	J		
620.					Sold (part)	03/10/14	J	A	
621.					Buy (add'l)	09/25/14	J		
622.					Sold	10/10/14	J		
623. - Ericsson Tel-SP ADR					Sold	02/05/14	J	A	
624. - Fifth Street Finance Corp									
625. - Franklin Street Properties Corp REIT					Sold	10/22/14	J		
626. - General Electric Company					Sold	02/05/14	J	A	
627. - HCP Inc					Sold	07/31/14	J	A	
628. - Hospitality Properties REIT Trust					Sold	05/05/14	J	A	
629. - Independence Realty TR Inc					Buy (add'l)	01/24/14	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	

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)
630.					Buy (add'l)	11/21/14	J		
631. - Intel Corp					Sold	02/05/14	J	A	
632. -iShares Mortgage Real Estate									
633. - Kellogg Company					Sold	02/05/14	J		
634. - Marvell Technology Group LTD					Sold	02/05/14	J		
635. - Maxim Integrated Prods Inc					Sold	02/05/14	J	A	
636. - Medley Capital Corp					Sold (part)	01/07/14	J		
637.					Buy (add'l)	03/17/14	J		
638.					Buy (add'l)	12/05/14	J		
639. - Microsoft Corp					Sold (part)	01/13/14	J	A	
640.					Sold	01/31/14	J	A	
641. - Newmont Mining Corp New					Sold	02/05/14	J		
642. - Pengrowth Energy Corp					Sold	05/07/14	J	A	
643. - Pennantpark Investment Corp					Buy (add'l)	06/27/14	J		
644.					Buy (add'l)	09/24/14	J		
645. - Pfizer Incorporated					Sold (part)	01/27/14	J	A	
646.					Sold	02/05/14	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		
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		

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 I (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)
647. - Proshares Short S&P 500					Sold (part)	04/21/14	J		
648.					Sold (part)	05/12/14	J		
649.					Buy (add'l)	08/25/14	J		
650. - Proshares TR ETF Ultrashort Russell 2000 Non-Traditional					Sold (part)	01/07/14	J		
651.					Sold (part)	01/30/14	J		
652.					Buy (add'l)	04/04/14	J		
653.					Sold (part)	04/08/14	J	A	
654.					Buy (add'l)	06/24/14	J		
655.					Sold (part)	06/24/14	J		
656.					Sold	09/25/14	J		
657. - Proshares Trust Ultrashort 20+ Year Treasury					Sold (part)	01/10/14	J	A	
658.					Buy (add'l)	02/12/14	J		
659.					Sold (part)	05/28/14	J		
660.					Buy (add'l)	07/31/14	J		
661.					Sold (part)	10/16/14	J		
662. - Prospect Capital Corp					Buy (add'l)	03/20/14	J		
663.					Sold (part)	12/05/14	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	

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 I (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)
664. - Royal Dutch Shell PLC ADR					Sold	01/13/14	J	A	
665. - Safeway Inc New					Sold	02/05/14	J	A	
666. - SPDR S&P International EF Dividend					Sold (part)	01/24/14	J		
667.					Buy (add'l)	09/18/14	J		
668.					Buy (add'l)	09/30/14	J		
669. - Telefonica Brasil SA Sponsored ADR					Sold	02/05/14	J		
670. - Telefonica S A Spon ADR					Sold	02/03/14	J	A	
671. - TICC Capital Corp					Sold (part)	02/20/14	J		
672.					Buy (add'l)	03/14/14	J		
673. - Transocean LTD Ordinary Shares					Sold (part)	01/03/14	J		
674.					Sold	02/05/14	J		
675. - Two Harbors Invt Corp					Buy (add'l)	02/03/14	J		
676.					Sold (part)	02/20/14	J	A	
677.					Sold (part)	12/24/14	J	A	
678. - Vodafone Group PLC Sponsored ADR					Sold	01/13/14	J	A	
679. - Whitestone REIT									
680. - Campus Crest Cmnty Inc					Buy	01/06/14	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	

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)
681.					Sold	10/08/14	J		
682. - Proshares Trust Ultrashort S&P 500 New					Buy	01/17/14	J		
683.					Buy (add'l)	01/24/14	J		
684.					Buy (add'l)	01/29/14	J		
685.					Sold (part)	01/30/14	J	A	
686.					Buy (add'l)	01/31/14	J		
687.					Sold (part)	02/07/14	J		
688.					Buy (add'l)	02/14/14	J		
689.					Buy (add'l)	03/13/14	J		
690.					Buy (add'l)	04/28/14	J		
691.					Sold (part)	06/09/14	J		
692.					Buy (add'l)	07/01/14	J		
693.					Sold (part)	07/23/14	J		
694.					Sold (part)	09/18/14	J		
695.					Sold (part)	09/24/14	J		
696.					Sold (part)	10/03/14	J		
697.					Sold (part)	10/10/14	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	

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)
698.					Buy (add'l)	11/28/14	J		
699.					Sold	12/05/14	J		
700. - Centrylink Inc					Buy	02/03/14	J		
701.					Sold	02/05/14	J		
702. - CYS Investments Inc					Buy	02/03/14	J		
703.					Buy (add'l)	07/01/14	J		
704. - Sector SPDR TR Technology Select Sector					Buy	02/03/14	J		
705.					Sold (part)	03/10/14	J	A	
706. - Proshares Trust Ultrashort QQQ					Buy	02/03/14	J		
707.					Sold (part)	06/24/14	J		
708.					Buy (add'l)	07/25/14	J		
709.					Buy (add'l)	07/31/14	J		
710.					Sold (part)	08/05/14	J	A	
711.					Buy (add'l)	10/10/14	J		
712.					Sold (part)	10/14/14	J	A	
713.					Sold (part)	10/20/14	J	A	
714.					Buy (add'l)	10/23/14	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	

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)
715.					Buy (add'l)	12/12/14	J		
716.					Sold (part)	12/17/14	J	A	
717. - iShares U.S. Telecommunications					Buy	02/05/14	J		
718. - iShares North American Tech-Multimedia Networking					Buy	02/05/14	J		
719. - Market Vectors Trust ETF Semiconductor					Buy	02/05/14	J		
720. - Market Vectors Trust Gold ETF Miners					Buy	02/05/14	J		
721. - Financial Select Sector SPDR					Buy	02/05/14	J		
722.					Buy (add'l)	03/10/14	J		
723. - Industrial Select Sector SPDR					Buy	02/05/14	J		
724.					Buy (add'l)	03/10/14	J		
725. - Select Sector SPDR TR Consumer Staples					Buy	02/05/14	J		
726.					Buy (add'l)	03/10/14	J		
727. - Select Sector SPDR FD Health Care					Buy	02/05/14	J		
728. - SPDR S&P Oil & Gas ETF Equipment & Services					Buy	02/05/14	J		
729. - Spider S&P Intl Telecomm Sector					Buy	02/05/14	J		
730. - Senior Housing Prop TR REIT					Buy	04/21/14	J		
731. - Invesco Mortgage Cap Inc					Buy	07/01/14	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	
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	

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)
732. - Fifth Street Senior FLTG Rate Corp					Buy	09/24/14	J		
733.					Buy (add'l)	10/10/14	J		
734. - Select Sector SPDR FD Consumer Discretionary					Buy	10/03/14	J		
735.					Buy (add'l)	10/16/14	J		
736.					Sold	11/06/14	J	A	
737. - SPDR S&P Retail					Buy	10/16/14	J		
738.					Sold	11/06/14	J	A	
739. - iShares 3-7 YR Treasury Bond					Buy	11/20/14	J		
740.					Sold	12/11/14	J	A	
741. - SPDR Dow Jones Indl ETF					Buy	11/20/14	J		
742.					Sold (part)	12/11/14	J		
743. - Powershares FD TR II ETF CEF Incm Composite					Buy	12/01/14	J		
744.					Buy (add'l)	12/17/14	J		
745. IRA #5	D	Int./Div.	P1	T					
746. - Alerian MFP					Sold	01/30/14	J	A	
747. - American Capital Mortgage Investment Corp					Sold	01/30/14	J		
748. - American Realty Capital Properties Inc					Sold	01/30/14	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	

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)
749. - Apollo Investment Corp					Sold	01/30/14	J		
750. - AT&T Inc					Sold	01/30/14	J		
751. - BCE Inc					Sold	01/30/14	J		
752. - Blackrock Kelso Capital Corp					Sold	01/30/14	J		
753. - Centurylink Inc					Sold (part)	01/21/14	J		
754.					Sold	01/30/14	J		
755. - Cisco Systems Inc					Sold	01/30/14	J	A	
756. - Conagra Foods					Sold	01/30/14	J		
757. - Cypress Semiconductor Corp					Sold	01/30/14	J		
758. - CYS Investments Inc					Sold	01/30/14	J		
759. - Deere & Co					Sold	01/30/14	J	A	
760. - Dynex Cap Inc					Sold	01/30/14	J		
761. - Einstein Noah Restaurant Group					Sold	01/30/14	J		
762. - Enduro Royalty Trust					Sold	01/30/14	J		
763. - Energy Select Sector SPDR					Sold	01/02/14	J		
764. - Ericsson Tel-SP ADR					Sold	01/30/14	J		
765. - Fifth Street Finance Corp					Sold	01/30/14	J	A	

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

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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)
766. - Franklin Street Properties Corp					Sold	01/30/14	J		
767. - General Electric Company					Sold	01/30/14	J	A	
768. - HCP Inc					Sold	01/30/14	J	A	
769. - Hospitality Properties REIT Trust					Sold	01/30/14	J	A	
770. - Independence Realty TR Inc					Buy (add'l)	01/24/14	J		
771.					Sold	01/30/14	J	A	
772. - Intel Corp					Sold	01/30/14	J	A	
773. - iShares Mortgage Real Estate					Sold	01/30/14	J	A	
774. - Kellogg Company					Sold	01/30/14	J		
775. - Marvell Technology Croup LTD					Sold	01/30/14	J	A	
776. - Maxim Integrated Prods Inc					Sold	01/30/14	J	A	
777. - Medley Capital Corp					Sold	01/30/14	J	A	
778. - Microsoft Corp					Sold	01/13/14	J	B	
779. - Newmont Mining Corp New					Sold	01/30/14	J	A	
780. - Pengrowth Energy Corp					Sold	01/30/14	J	A	
781. - Pennantpark Investment Corp					Sold	01/30/14	J	A	
782. - Pfizer Incorporated					Sold (part)	01/27/14	J	A	

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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)
783.					Sold	01/30/14	J		
784. - Proshares Short S&P 500					Sold	01/30/14	L		
785. - Proshares TR ET Ultrashort Russell 2000					Sold (part)	01/07/14	J		
786.					Sold (part)	01/15/14	J		
787.					Sold	01/30/14	J		
788. - Proshares Trust Ultrashort 20+ Treasury					Sold (part)	01/10/14	J		
789.					Sold	01/30/14	J		
790. - Prospect Capital Corp					Sold	01/30/14	J		
791. - Royal Dutch Shell PL					Sold	01/13/14	J	A	
792. - Regal Entertainment Grp					Sold	01/30/14	J	A	
793. - Safeway Inc					Sold	01/30/14	J	C	
794. - SPDR S&P International Dividend					Sold (part)	01/24/14	J		
795.					Sold	01/30/14	J		
796. - Telefonica Brasil SA Sponsored ADR					Sold	01/30/14	J	A	
797. - Telefonica SA Spon ADR					Sold	01/30/14	J		
798. - TICC Capital Corp					Sold	01/30/14	J	A	
799. - Transocean LTD Ordinary Shares					Sold (part)	01/03/14	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 \$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)
800.					Sold	01/30/14	J		
801. - Two Harbors Invt Corp					Sold	01/30/14	K		
802. - Vodafone Group PLC Sponsored ADR					Sold	01/13/14	J	B	
803. - Whitestone REIT					Sold	01/30/14	J		
804. - Campus Crest Cmmtys Inc					Buy	01/06/14	J		
805.					Sold	01/30/14	J		
806. - Proshares Trust Ultrashort S&P 500 New					Buy	01/17/14	J		
807.					Buy (add'l)	01/24/14	J		
808.					Buy (add'l)	01/29/14	J		
809.					Sold	01/30/14	K	A	
810. - First TR Canada Alphadex FD					Buy	02/04/14	K		
811.					Buy (add'l)	04/14/14	K		
812.					Buy (add'l)	07/07/14	J		
813.					Buy (add'l)	09/02/14	J		
814.					Sold (part)	09/29/14	J	A	
815.					Sold	11/03/14	L		
816. - First TR Japan Alphadex Fund					Buy	02/04/14	K		

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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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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)
817.					Sold	03/31/14	K	A	
818.					Buy	06/02/14	K		
819.					Sold	09/02/14	K	B	
820. - First Trust Financial Alphadex Fund					Buy	02/04/14	K		
821.					Buy (add'l)	02/10/14	K		
822.					Sold (part)	02/24/14	J	A	
823.					Buy (add'l)	04/14/14	L		
824.					Sold (part)	06/09/14	K	B	
825.					Sold (part)	06/16/14	K	B	
826.					Buy (add'l)	07/07/14	J		
827.					Sold (part)	07/21/14	J	A	
828.					Buy (add'l)	07/28/14	K		
829.					Sold (part)	08/11/14	J	A	
830.					Sold (part)	08/18/14	J	A	
831.					Buy (add'l)	09/02/14	J		
832.					Buy (add'l)	09/29/14	J		
833.					Buy (add'l)	10/13/14	K		

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 \$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	

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)
834.					Sold (part)	10/20/14	M		
835.					Buy (add'l)	12/08/14	M		
836.					Buy (add'l)	12/09/14	L		
837.					Sold (part)	12/29/14	K	A	
838. - First TR Europe Alphadex Fund					Buy	02/04/14	L		
839.					Buy (add'l)	02/24/14	J		
840.					Sold (part)	02/10/14	J	A	
841.					Buy (add'l)	04/14/14	L		
842.					Buy (add'l)	06/17/14	J		
843.					Sold (part)	08/11/14	J		
844.					Sold (part)	09/02/14	K	A	
845.					Sold (part)	09/29/14	J		
846.					Sold (part)	10/13/14	J		
847.					Sold	11/03/14	M		
848. - First Trust Technology ETF Alphadex Fund					Buy	02/04/14	K		
849.					Buy (add'l)	02/10/14	K		
850.					Sold (part)	02/24/14	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		
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		

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)
851.					Buy (add'l)	04/14/14	L		
852.					Sold (part)	06/09/14	K	C	
853.					Buy (add'l)	07/07/14	J		
854.					Sold (part)	07/21/14	J	B	
855.					Buy (add'l)	07/28/14	K		
856.					Sold (part)	08/11/14	K	A	
857.					Sold (part)	08/18/14	J	A	
858.					Buy (add'l)	09/02/14	J		
859.					Buy (add'l)	09/29/14	J		
860.					Buy (add'l)	10/13/14	K		
861.					Buy (add'l)	10/21/14	L		
862.					Sold (part)	10/27/14	J	A	
863.					Sold (part)	11/03/14	J	A	
864.					Sold (part)	12/09/14	K	B	
865.					Sold (part)	12/30/14	K	C	
866.	- First Trust Industrials/ Producer Durables Alphadex				Buy	02/04/14	K		
867.					Sold	02/10/14	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 M = \$100,001 - \$250,000
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	P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated		

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)

868.					Buy	06/09/14	M		
869.					Sold	06/09/14	K		
870.					Buy (add'l)	07/21/14	L		
871.					Sold (part)	07/07/14	L		
872.					Sold (part)	07/28/14	L		
873.					Buy (add'l)	08/19/14	L		
874.					Buy (add'l)	09/02/14	J		
875.					Buy (add'l)	09/29/14	J		
876.					Buy (add'l)	10/13/14	K		
877.					Sold	10/20/14	M		
878.	- First Trust Health Career Alphadex Fund				Buy	02/04/14	K		
879.					Buy (add'l)	02/10/14	K		
880.					Sold (part)	02/24/14	J	A	
881.					Buy (add'l)	04/14/14	L		
882.					Sold (part)	06/09/14	K	A	
883.					Sold (part)	06/16/14	K	B	
884.					Buy (add'l)	07/07/14	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	

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)
885.					Sold (part)	07/21/14	J	B	
886.					Buy (add'l)	07/28/14	K		
887.					Sold (part)	08/11/14	K	B	
888.					Sold (part)	08/18/14	J	B	
889.					Sold (part)	09/02/14	J		
890.					Buy (add'l)	09/29/14	J		
891.					Buy (add'l)	10/13/14	K		
892.					Sold	10/20/14	M	D	
893. - First Trust Material Alphadex Fund					Buy	02/04/14	K		
894.					Buy (add'l)	02/10/14	K		
895.					Sold (part)	02/24/14	J	A	
896.					Buy (add'l)	04/14/14	L		
897.					Sold (part)	06/09/14	K	B	
898.					Sold (part)	06/16/14	K	B	
899.					Buy (add'l)	07/07/14	J		
900.					Sold (part)	07/21/14	J	A	
901.					Buy (add'l)	07/28/14	K		

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

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)
902.					Sold (part)	08/11/14	J	A	
903.					Sold (part)	08/18/14	J	A	
904.					Buy (add'l)	09/02/14	J		
905.					Buy (add'l)	09/29/14	J		
906.					Buy (add'l)	10/13/14	K		
907.					Buy (add'l)	10/21/14	L		
908.					Sold	10/27/14	M		
909. - First Trust Energy Alphadex Fund					Buy	02/04/14	K		
910.					Buy (add'l)	02/24/14	K		
911.					Sold (part)	02/10/14	K		
912.					Buy (add'l)	03/31/14	J		
913.					Buy (add'l)	04/14/14	L		
914.					Sold (part)	06/09/14	J	C	
915.					Sold (part)	06/16/14	K	C	
916.					Buy (add'l)	07/07/14	J		
917.					Sold (part)	07/21/14	J	B	
918.					Sold (part)	08/11/14	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	

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)
919.					Sold (part)	08/18/14	J	A	
920.					Buy (add'l)	09/02/14	J		
921.					Sold	09/29/14	L		
922. - Pimco ETF Trust Enhanced Short Maturity Strategy Fund					Buy	02/04/14	L		
923.					Buy (add'l)	02/24/14	J		
924.					Buy (add'l)	03/31/14	K		
925.					Sold (part)	03/03/14	L	A	
926.					Buy (add'l)	04/14/14	L		
927.					Sold (part)	04/28/14	L	A	
928.					Sold (part)	06/02/14	K		
929.					Buy (add'l)	10/21/14	M		
930.					Sold	10/28/14	M		
931. - First TR Asia Pacific Ex-Japan Alphadex Fund					Buy	03/03/14	L		
932.					Buy (add'l)	04/14/14	K		
933.					Buy (add'l)	04/28/14	K		
934.					Buy (add'l)	09/02/14	J		
935.					Sold (part)	09/29/14	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	

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)
936.					Sold (part)	10/13/14	J	A	
937.					Sold	11/03/14	L		
938. - First TR Emerging Markets Alphadex Fund					Buy	03/03/14	K		
939.					Sold (part)	03/31/14	J	A	
940.					Buy (add'l)	04/14/14	L		
941.					Buy (add'l)	04/28/14	K		
942.					Buy (add'l)	06/09/14	J		
943.					Buy (add'l)	07/07/14	J		
944.					Sold (part)	08/04/14	J	A	
945.					Sold (part)	09/02/14	K	C	
946.					Sold (part)	09/29/14	J	A	
947.					Sold (part)	10/13/14	J		
948.					Sold (part)	10/20/14	J		
949.					Buy (add'l)	11/03/14	L		
950.					Buy (add'l)	12/08/14	J		
951.					Sold (part)	12/01/14	J		
952.					Sold (part)	12/30/14	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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 S ~Assessment W ~Estimated	T ~Cash Market	

Name of Person Reporting Ambro, Thomas L.	Date of Report 05/14/2015
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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)
953. - First Trust Consumer Staples Alphadex Fund					Buy	06/17/14	L		
954.					Buy (add'l)	07/07/14	J		
955.					Sold (part)	07/21/14	J		
956.					Sold (part)	07/28/14	L		
957.					Buy (add'l)	08/11/14	L		
958.					Sold (part)	08/18/14	J	A	
959.					Buy (add'l)	09/02/14	J		
960.					Buy (add'l)	09/29/14	J		
961.					Buy (add'l)	10/13/14	J		
962.					Buy (add'l)	10/21/14	L		
963.					Sold (part)	11/03/14	J	A	
964.					Sold (part)	12/09/14	J	A	
965.					Sold (part)	12/30/14	K	C	
966. - First Trust Utilities Alphadex Fund					Buy	06/17/14	L		
967.					Buy (add'l)	07/07/14	J		
968.					Sold (part)	07/21/14	J	A	
969.					Buy (add'l)	07/28/14	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	

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 I (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)
970.					Sold (part)	08/04/14	M		
971.					Buy (add'l)	12/29/14	L		
972.					Buy (add'l)	12/30/14	L		
973.					Buy (add'l)	12/31/14	K		
974. - First Trust Consumer Discretionary Alphadex Fund					Buy	08/04/14	M		
975.					Sold (part)	08/11/14	K		
976.					Sold (part)	08/18/14	J	A	
977.					Buy (add'l)	09/02/14	J		
978.					Buy (add'l)	09/29/14	J		
979.					Sold (part)	10/13/14	L		
980.					Buy (add'l)	12/29/14	L		
981.					Buy (add'l)	12/30/14	L		
982. - First TR Switzerland Alphadex Fund					Buy	09/02/14	L		
983.					Sold (part)	09/29/14	J		
984.					Sold	11/03/14	L		
985. - First TR United Kingdom Alphadex Fund					Buy	09/29/14	L		
986.					Sold	11/03/14	L		

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	

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)
987. - First TR Exchange Traded Alphadex Eurozone					Buy	12/01/14	M		
988.					Buy (add'l)	12/08/14	J		
989.					Buy (add'l)	12/29/14	J		
990. - First TR Enhanced Short Maturity FD					Buy	10/28/14	N		
991.					Buy (add'l)	11/03/14	N		
992.					Sold (part)	12/01/14	M		
993.					Sold (part)	12/08/14	M		
994.					Sold (part)	12/29/14	M		
995. PMC Family LLC		None	M	W					
996. The Sequoia Fund	A	Dividend	K	T	Buy (add'l)	01/08/14	J		
997.					Buy (add'l)	02/03/14	J		
998.					Buy (add'l)	03/03/14	J		
999.					Buy (add'l)	04/01/14	J		
1000.					Buy (add'l)	05/01/14	J		
1001.					Buy (add'l)	06/02/14	J		
1002.					Buy (add'l)	07/01/14	J		
1003.					Buy (add'l)	08/01/14	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	

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)
1004.					Buy (add'l)	09/02/14	J		
1005.					Buy (add'l)	10/01/14	J		
1006.					Buy (add'l)	11/03/14	J		
1007.					Buy (add'l)	12/01/14	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	

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

Asset listed in Part VII, Line 305, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Asset listed in Part VII, Line 304, has rental income from property located in Newark, DE.

Assets listed in Part VII, lines 100, 886, 1169, and 1219 of the prior year report, should not have been listed as a part sale. The assets were completely sold in 2013.

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544