

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
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
7.	Member, Advisory Board	Penn Institute for Restructuring Studies
8.	Member, Advisory Board	Working Group on Legal Opinions Foundation

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

☒ NONE (No reportable agreements.)

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

FINANCIAL DISCLOSURE REPORT

Page 2 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	Georgetown University - teaching	\$6,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Inns of Court	March 29-April 1, 2015	Washington, DC	Speaker and Guide to UK Judicial Assistants	Transportation
2. Georgetown University	July 7-8, 2015	Washington, DC	Teaching Class Preview	Transportation
3. Georgetown University	September 1-2, 2015	Washington, DC	Teaching Class	Transportation
4. Georgetown University	September 14, 2015	Washington, DC	Teaching Class	Transportation
5. American Bar Association	September 16-17, 2015	Washington, DC	Section of Business Law CLE Program Panelist	Transportation, Lodging
6. Georgetown University	September 20-21, 2015	Washington, DC	Teaching Class	Transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

7.	Georgetown University	September 25-28, 2015	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	October 4-5, 2015	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	October 8-9, 2015	Washington, DC	Teaching Class	Transportation
10.	American Inns of Court	October 23-25, 2015	Washington, DC	Award Recipient Celebration of Excellence & Dinner	Transportation, Lodging
11.	Georgetown University	October 25-26, 2015	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 1-2, 2015	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	November 9, 2015	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	November 15-16, 2015	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	November 22-23, 2015	Washington, DC	Teaching Class	Transportation
16.	Georgetown University	November 29-30, 2015	Washington, DC	Teaching Class	Transportation
17.	Georgetown University	December 4, 2015	Washington, DC	Teaching Class	Transportation
18.	Georgetown University	December 6-7, 2015	Washington, DC	Teaching Class	Transportation
19.	Georgetown University	December 10-11, 2015	Washington, DC	Teaching Class	Transportation
20.	Georgetown University	December 17-18, 2015	Washington, DC	Teaching Class	Transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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 133)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 133)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 133)	P1
4.	PNC Bank, N.A.	Non-Resource Guaranty and Suretyship Agreement (Part VII, Line 134)	P1
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)

1. M&T Bank Account		None	K	T					
2. M&T Bank Account		None	J	T					
3. Trust Account #6 (H)									
4. - Harris Assoc Oakmark I					Buy (add'l)	07/08/15	L		
5.					Sold (part)	09/25/15	K		
6. - WF Advantage Municipal Money Market (Y)									
7. - Bank Deposit Sweep (X)		None	J	T					
8. IRA Account #1 (H)									
9. - First TR Emerging ET Markets Alphadex Fund	A	Dividend			Sold (part)	01/09/15	K		
10.					Sold (part)	01/20/15	J		
11.					Buy (add'l)	02/03/15	J		
12.					Buy (add'l)	02/18/15	J		
13.					Sold (part)	03/02/15	J		
14.					Buy (add'l)	05/26/15	J		
15.					Buy (add'l)	06/29/15	J		
16.					Sold (part)	06/01/15	J	A	
17.					Sold	07/07/15	K		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)

18. - First TR Enhanced Short Maturity	A	Dividend			Sold (part)	01/09/15	J		
19.					Buy (add'l)	02/03/15	K		
20.					Buy (add'l)	02/03/15	K		
21.					Sold (part)	03/02/15	K		
22.					Sold (part)	03/16/15	J		
23.					Sold (part)	05/26/15	J	A	
24.					Sold (part)	06/01/15	K	A	
25.					Sold (part)	06/29/15	K		
26.					Sold	07/07/15	J		
27. - First TR Exchange ET Traded Alphadex FD II Eurozone ETF		None			Sold (part)	01/19/15	K		
28.					Sold (part)	01/20/15	J		
29.					Sold	02/02/15	K		
30. - First Trust ET Financial Alphadex Fund	A	Dividend			Sold (part)	01/09/15	K		
31.					Sold (part)	01/20/15	J		
32.					Sold (part)	01/21/15	J		
33.					Buy (add'l)	05/26/15	K		
34.					Buy (add'l)	06/01/15	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
35.					Sold (part)	06/29/15	J		
36.					Sold	07/07/15	K		
37. - First Trust Utilities Alphadex Fund		None			Sold (part)	01/09/15	K		
38.					Sold (part)	02/02/15	J		
39.					Sold (part)	02/17/15	J		
40.					Sold	02/18/15	J		
41. - First Trust Consumer Discretionary Alphadex Fund	A	Dividend			Sold (part)	01/09/15	K		
42.					Sold (part)	01/20/15	J		
43.					Sold (part)	01/21/15	J		
44.					Buy (add'l)	03/02/15	J		
45.					Buy (add'l)	03/04/15	J		
46.					Buy (add'l)	06/01/15	J		
47.					Sold (part)	06/29/15	J		
48.					Sold	07/07/15	K		
49. - First Trust Consumer ET Staples Alphadex Fund		None			Sold (part)	01/09/15	K	C	
50.					Buy (add'l)	01/20/15	J		
51.					Buy (add'l)	01/21/15	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
52.					Sold (part)	02/02/15	J	A	
53.					Sold (part)	02/17/15	J	A	
54.					Sold (part)	03/02/15	J	A	
55.					Sold (part)	03/16/15	J	B	
56.					Sold	03/17/15	J	A	
57. - First Trust Technology ET Alphadex Fund		None			Sold (part)	01/09/15	K	B	
58.					Sold (part)	02/02/15	J	B	
59.					Sold	02/03/15	J	A	
60. - Pimco ETF TR Enhanced Short Term Maturity	A	Dividend			Buy	02/17/15	J		
61.					Buy (add'l)	02/18/15	J		
62.					Sold (part)	03/02/15	K		
63.					Buy (add'l)	03/16/15	J		
64.					Buy (add'l)	03/17/15	K		
65.					Sold (part)	03/30/15	J		
66.					Sold	05/26/15	J	A	
67. - First TR United Kingdom Alphadex Fund	A	Dividend			Buy	03/02/15	J		
68.					Sold (part)	03/30/15	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
69.					Buy (add'l)	06/01/15	J		
70.					Buy (add'l)	06/29/15	J		
71.					Sold	07/07/15	J		
72. - First TR Japan Alphadex Fund	A	Dividend			Buy	03/02/15	J		
73.					Sold (part)	03/30/15	J	A	
74.					Sold (part)	06/01/15	J	A	
75.					Buy (add'l)	06/29/15	J		
76.					Sold	07/07/15	J	A	
77. - First TR Energy Alphadex Fund	A	Dividend			Buy	03/30/15	K		
78.					Buy (add'l)	06/29/15	J		
79.					Sold	07/07/15	K		
80. - First TR Switzerland ETF Alphadex FD	A	Dividend			Buy	06/01/15	J		
81.					Sold	06/29/15	J		
82. - First TR Canada Alphadex Fund	A	Dividend			Buy	06/01/15	J		
83.					Sold	06/29/15	J		
84. - First TR Health Care Alphadex Fund		None			Buy	06/29/15	K		
85.					Sold	07/07/15	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
86. IRA Account #2 (H)									
87. - Fairholme Fund	E	Dividend	L	T					
88. - WHV International Equity FD CL	B	Dividend	K	T					
89. - Dodge & Cox Intl Stock FD	B	Dividend	L	T					
90. - Federated Strategic Value Dividend FD	D	Dividend	M	T					
91. - Natixis fds TR I Oakmark Intl FD	B	Dividend	L	T					
92. - Brandes Invt TR Instl Emerging Mkts FD	A	Dividend	K	T					
93. - Matthews Asia Dividend FD	B	Dividend	K	T					
94. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	L	T					
95. - Virtus Opportunities Trust		None			Sold	07/02/15	K		
96. - Pimco Equity SER	A	Dividend	K	T					
97. - Neuberger Berman Alternative FDS	A	Dividend	K	T					
98. - Primecap Odyssey Growth	B	Dividend	M	T	Sold (part)	01/09/15	J	A	
99. - Virtus Emerging Markets Opportunities Fund	A	Dividend	K	T					
100. - JP Morgan TR I Strategic Inocme Opportunity	C	Dividend	L	T					
101. - Nuveen Invt FDS Inc Real Asset Income FD	C	Dividend	K	T	Sold (part)	04/10/15	J		
102. - Pimco All Asset Fund Inst CL	A	Dividend			Sold	07/02/15	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
103. - Arbitrage FD CL I		None			Sold	01/27/15	K	A	
104. - Dodge & Cox Stock FD	D	Dividend	M	T					
105. - Dodge & Cox Income FD	C	Dividend	L	T	Buy (add'l)	01/28/15	K		
106. - Doubleline FDS TR Total Return BD FD	B	Dividend	L	T					
107. - Harris Assoc Invst TR Oakmark Global Select FD	D	Dividend	L	T	Buy	07/06/15	L		
108.					Sold (part)	07/10/15	J	A	
109.					Sold (part)	10/09/15	J		
110. Trust Account #12 (H)									
111. - Fairholme Fund	D	Dividend	K	T					
112. - WHV International Equity FD		None			Sold	01/20/15	K		
113. -Federated Strategic Value Dividend Fund Instl		None			Sold	01/20/15	L	C	
114. - Brandes Invst TR Inst Emerging Mkts FD		None			Sold	01/20/15	J		
115. - Dodge & Cox Intl Stock FD	A	Dividend	K	T					
116. - Matthews Asia Dividend FD	A	Dividend	K	T					
117. - Natixis FDS TR I Oakmark Intl FD CL A					Sold	01/20/15	K	B	
118. - Primecap Odyssey FDS Aggressive Growth FD	B	Dividend	K	T					
119. - Virtus Opportunities Trust		None			Sold	01/20/15	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Pimco Equity SER		None			Sold	01/20/15	K		
121. - Neuberger Berman Alternative FDS		None			Sold	01/20/15	K		
122. - Virtus Emerging Markets Opportunities FD		None			Sold	01/20/15	J		
123. - Primecap Odyssey Growth		None			Sold (part)	01/09/15	J	A	
124.					Sold	01/20/15	L	B	
125. -JP Morgan TR I Strategic Income Opportunity		None			Sold	01/20/15	K		
126. - Nuveen Invt FDS Inc Real Asset Income	A	Dividend			Sold	01/20/15	K		
127. - Pimco All Asset Fund Instl CL		None			Sold	01/20/15	K		
128. - Arbitrage FD		None			Sold	01/21/15	K	A	
129. - Dodge & Cox Stock Fund	C	Dividend	K	T					
130. - Dodge & Cox Income Fund		None			Sold	01/20/15	K		
131. - Doubleline FDS TR Total Return BD FD		None			Sold	01/20/15	K	A	
132. - Bank Deposit Sweep (x)	A	Interest	M	T					
133. Springside, LLC (2000 - \$300,000, 2012- \$20,123)	E	Rent	P1	W					
134. Middletown Professional Properties, LLC, (2004 - \$80,925)	E	Rent	O	W					
135. Trust #15 (H)									
136. - Johnson & Johnson	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Microsoft Corp	A	Dividend	K	T					
138. - Range Resources Corp	A	Dividend	J	T					
139. - Rex Energy Corp		None	J	T	Buy (add'l)	01/15/15	J		
140.					Buy (add'l)	07/27/15	J		
141. - Fairholme FDS Inc	A	Dividend	J	T					
142. - Brown Cap Mgmt Mutual FDS Small Co Fund	A	Dividend	J	T					
143. - Vanguard Specialized Portfolios Energy Port Investor	A	Dividend	K	T	Buy (add'l)	01/05/15	J		
144.					Buy (add'l)	02/03/15	J		
145.					Buy (add'l)	03/03/15	J		
146.					Buy (add'l)	04/06/15	J		
147.					Buy (add'l)	05/04/15	J		
148.					Buy (add'l)	06/03/15	J		
149.					Buy (add'l)	07/06/15	J		
150. - Medley Capital Corp	C	Dividend	K	T					
151. - Pennantpark Investment Corp	C	Dividend	K	T					
152. - Prospect Capital Corp	C	Dividend	K	T					
153. - BP Plc Spons ADR	B	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - National Oil Well Varco Inc	A	Dividend	J	T					
155. - Enterprise Products Partners		None	J	T					
156. - Plains GP Holdings LP	A	Dividend	J	T					
157. - Weatherford International PLC		None	J	T					
158. - BHP Billiton LTF Spon ADR	B	Dividend	J	T	Buy	02/04/15	J		
159. - Cabot Oil & Gas	A	Dividend	J	T	Buy	07/27/15	J		
160. - Chesapeake Energy Corp		None	J	T	Buy	06/15/15	K		
161. - Rio Tinto PLC Spon ADR	A	Dividend	J	T	Buy	02/04/15	J		
162. - South32 LTD Spon		None	J	T	Buy	05/29/15	J		
163. - Natixis FDS TR II Vaughan Nelson Select FD CL Y	A	Dividend	K	T	Buy	07/15/15	K		
164.					Buy (add'l)	08/03/15	J		
165.					Buy (add'l)	09/03/15	J		
166.					Buy (add'l)	10/05/15	J		
167.					Buy (add'l)	11/03/15	J		
168.					Buy (add'l)	12/03/15	J		
169. - Natixis Funds Trust II Vaughan Nelson Value Class Y	A	Dividend	J	T	Buy	07/15/15	J		
170. IRA #3 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Devon Energy Corp	A	Dividend	J	T					
172. - Exxon Mobil Corp	B	Dividend	L	T					
173. - Brown Cap Mgmt Mut FDS Small Co Fund Inv	C	Dividend	L	T					
174. - Fairholme FDS Inc	C	Dividend	K	T					
175. - Harris Assoc Invt TR Oakmark Global Select FD	D	Dividend	M	T	Buy (add'l)	07/06/15	L		
176.					Sold (part)	12/22/15	J		
177. - Professionally Manged Portfolio CL Instl Hodges Small Cap	A	Dividend	J	T					
178. - Matthews Intl FD Asian Growth & Income FD	D	Dividend	L	T	Sold (part)	11/17/15	J		
179.					Sold (part)	12/02/15	J		
180.					Sold (part)	12/22/15	J		
181. - Virtus Opportunities Trust - Virtus Synamic Alphasector FD					Sold	07/02/15	L		
182. - Rex Energy Corp		None	J	T					
183. - Marine Harvest ASA Sponsored ADR	A	Dividend	K	T					
184. - Knot Offshore Partners LP		None	L	T	Buy	11/19/15	J		
185.					Buy (add'l)	12/04/15	J		
186.					Buy (add'l)	12/15/15	J		
187.					Buy (add'l)	12/22/15	J		

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T	Buy	01/13/15	J		
189. Trust #16 (H)									
190. - Apollo Investment Corp	B	Dividend	J	T					
191. - Blackrock Kelso Capital Corp	B	Dividend	K	T					
192. - Prospect Capital Corp	C	Dividend	K	T					
193. - Whitestone Reit	A	Dividend			Sold	07/06/15	K		
194. - American Capital Mortgage Investment Corp	A	Dividend			Sold	07/06/15	J		
195. - Fifth Street Finance Corp	C	Dividend	K	T					
196. - Independence Realty TR Inc	A	Dividend			Sold	07/06/15	J		
197. - iShares Mortgage Real Estate	A	Dividend			Sold	07/06/15	J		
198. - Medley Capital Corp	D	Dividend	K	T					
199. - Pennantpark Investment Corp	C	Dividend	K	T					
200. - TICC Capital Corp	C	Dividend	K	T					
201. - Proshares Trust Ultrashort S&P 500		None			Sold (part)	01/22/15	K		
202.					Sold	07/06/15	M	B	
203. - CYS Investments Inc	B	Dividend			Sold	07/06/15	K		
204. - Sector SPDR TR Technology Select Sector	A	Dividend			Sold	07/06/15	K	D	

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)
205. - Proshares Short S&P 500		None			Buy (add'l)	01/14/15	L		
206.					Sold (part)	03/05/15	K		
207.					Sold (part)	05/26/15	L		
208.					Sold	06/24/15	K		
209. - Two Harbors Invt Corp	A	Dividend			Sold	07/06/15	J	A	
210. - iShares U.S. Telecommunications	A	Dividend			Sold	07/06/15	K	A	
211. - iShares North American Tech-Multimedia Networking	A	Dividend			Sold	07/06/15	K	C	
212. - Market Vectors Trust Semiconductor		None			Sold	07/06/15	L	E	
213. - Market Vectors Gold ETF Miners		None			Sold	07/06/15	J		
214. - Financial Select Sector SPDR	A	Dividend			Sold	07/06/15	K	C	
215. - Industrial Select Sector SPDR	A	Dividend			Sold	07/06/15	K	C	
216. - Select Sector SPDR TR Consumer Staples	B	Dividend			Sold	07/06/15	L	D	
217. - Select Sector SPDR FD Health Care	A	Dividend			Sold	07/06/15	K	D	
218. - SPDR S&P Oil & Gas Equipment & Services	A	Dividend			Sold	07/06/15	J		
219. - Spider S&P Intl Telecom Sector	A	Dividend			Sold	07/06/15	K		
220. - Senior Housing Prop TR REIT	A	Dividend			Sold (part)	01/14/15	K		
221.					Sold	07/06/15	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		

FINANCIAL DISCLOSURE REPORT

Page 18 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Proshares Trust Ultrashort QQQ New		None			Sold (part)	02/04/15	K		
223.					Sold (part)	04/06/15	J		
224.					Sold (part)	04/21/15	K		
225.					Buy (add'l)	05/26/15	K		
226.					Sold	06/24/15	K		
227. - Invesco Mortgage Cap Inc	A	Dividend			Sold	07/06/15	J		
228. - Fifth Street Senior FLTG Rate Corp	A	Dividend			Sold	07/06/15	J		
229. - SPDR S&P International ETF	A	Dividend			Sold	07/06/15	K		
230. - SPDR Dow Jones INDL ETF	A	Dividend			Sold	07/06/15	J		
231. - Powershares FD TR II ETF CEF Incm Composite Port	C	Dividend			Sold	07/06/15	L		
232. - Proshares Trust Ultrashort 20+ Year		None			Buy	01/14/15	J		
233.					Sold (part)	02/04/15	J		
234.					Buy (add'l)	04/21/15	J		
235.					Sold	05/26/15	K		
236. - Bank Deposit Sweep (X)		None	J	T					
237. Trust #17 (H)									
238. - American Capital Mortgage Investment Corp	A	Dividend			Sold	07/02/15	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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

239. - Apollo Investment Corp	A	Dividend			Sold	07/02/15	J		
240. - Blackrock Kelso Capital Corp	A	Dividend			Sold	07/02/15	J		
241. - Fifth Street Finance Corp	A	Dividend			Sold	07/02/15	J		
242. - Independence Realty TR Inc	A	Dividend			Sold	07/02/15	J		
243. -iShares Mortgage Real Estate	A	Dividend			Sold	07/02/15	J		
244. - Medley Capital Corp	A	Dividend			Sold	07/02/15	J		
245. - Pennantpark Investment Corp	A	Dividend			Sold	07/02/15	J		
246. - Proshares Short S&P 500		None			Buy (add'l)	01/14/15	J		
247.					Sold (part)	03/05/15	J		
248.					Sold (part)	05/26/15	J		
249.					Sold	06/24/15	J		
250. - Proshares Trust Ultrashort 20+ Year Treasury		None			Buy (add'l)	01/14/15	J		
251.					Sold (part)	02/04/15	J		
252.					Sold	05/26/15	J	A	
253. - Prospect Capital Corp	A	Dividend			Sold	07/02/15	J		
254. - SPDR S&P International EF Dividend	A	Dividend			Sold	07/02/15	J		
255. - TICC Capital Corp	A	Dividend			Sold	07/02/15	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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Two Harbors Invst Corp	A	Dividend			Sold	07/02/15	J	A	
257. - Whitestone REIT	A	Dividend			Sold	07/05/15	J		
258. - CYS Investments Inc	A	Dividend			Sold	07/02/15	J		
259. - Sector SPDR TR Technology Select Sector	A	Dividend			Sold	07/02/15	J	A	
260. - Proshares Trust Ultrashort QQQ		None			Sold (part)	01/14/15	J		
261.					Sold (part)	02/04/15	J		
262.					Sold (part)	04/21/15	J		
263.					Buy (add'l)	05/26/15	J		
264.					Sold	06/24/15	J		
265. - iShares U.S. Telecommunications	A	Dividend			Sold	07/02/15	J	A	
266. - iShares North American Tech-Multimedia Networking	A	Dividend			Sold	07/02/15	J	A	
267. - Market Vectors Trust ETF Semiconductor		None			Sold	07/02/15	J	B	
268. - Market Vectors Trust Gold ETF Miners		None			Sold	07/02/15	J		
269. - Financial Select Sector SPDR	A	Dividend			Sold	07/02/15	J	A	
270. - Industrial Select Sector SPDR	A	Dividend			Sold	07/02/15	J	A	
271. - Select Sector SPDR TR Consumer Staples	A	Dividend			Sold	07/02/15	J	B	
272. - Select Sector SPDR FD Health Care	A	Dividend			Sold	07/02/15	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - SPDR S&P Oil & Gas ETF Equipment & Services	A	Dividend			Sold	07/02/15	J		
274. - Spider S&P Intl Telecomm Sector	A	Dividend			Sold	07/02/15	J		
275. - Senior Housing Prop TR REIT	A	Dividend			Sold	07/02/15	J		
276. - Invesco Mortgage Cap Inc	A	Dividend			Sold	07/02/15	J		
277. - Fifth Street Senior FLTG Rate Corp	A	Dividend			Sold	07/02/15	J		
278. - SPDR Dow Jones Intl ETF	A	Dividend			Sold	07/02/15	J		
279. - Powershares FD TR II ETF CEF Incm Composite	A	Dividend			Sold	07/02/15	J		
280. - Proshares Trust Ultrashort S&P 500 New		None			Buy	02/04/15	J		
281.					Buy (add'l)	03/05/15	J		
282.					Buy (add'l)	05/26/15	J		
283.					Buy (add'l)	06/24/15	J		
284.					Sold	07/02/15	K	A	
285. IRA #5 (H)									
286. - First Trust Financial Alphadex Fund	A	Dividend			Sold (part)	01/20/15	L		
287.					Sold (part)	01/21/15	K		
288.					Buy (add'l)	05/26/15	M		
289.					Buy (add'l)	06/01/15	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	

FINANCIAL DISCLOSURE REPORT

Page 22 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)	06/29/15	J		
291.					Sold	07/08/15	M		
292. - First Trust Technology ETF Alphadex Fund		None			Buy (add'l)	01/21/15	K		
293.					Sold	02/03/15	M	D	
294. - First TR Emerging Markets Alphadex Fund	B	Dividend			Buy (add'l)	02/03/15	J		
295.					Buy (add'l)	02/18/15	J		
296.					Sold (part)	03/02/15	J		
297.					Buy (add'l)	05/26/15	J		
298.					Sold (part)	06/01/15	L	A	
299.					Buy (add'l)	06/29/15	L		
300.					Sold	07/08/15	M		
301. - First Trust Consumer Staples Alphadex Fund		None			Buy (add'l)	01/20/15	L		
302.					Buy (add'l)	01/21/15	K		
303.					Sold (part)	02/03/15	J	A	
304.					Sold (part)	02/17/15	J	A	
305.					Sold (part)	03/02/15	J	A	
306.					Sold (part)	03/16/15	M	D	

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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.					Sold	03/17/15	L	C	
308. - First Trust Utilities Alphadex Fund		None			Buy (add'l)	01/20/15	K		
309.					Sold (part)	02/03/15	J		
310.					Sold (part)	02/17/15	L		
311.					Sold	02/18/15	L		
312. - First Trust Consumer Discretionary Alphadex Fund	A	Dividend			Sold (part)	01/20/15	L		
313.					Sold (part)	01/21/15	K		
314.					Buy (add'l)	03/02/15	L		
315.					Buy (add'l)	03/04/15	L		
316.					Buy (add'l)	06/01/15	J		
317.					Sold (part)	06/29/15	J		
318.					Sold	07/08/15	M		
319. - First TR Switzerland Alphadex Fund	A	Dividend			Buy	06/01/15	L		
320.					Sold	06/29/15	L		
321. - First TR United Kingdom Alphadex Fund	A	Dividend			Buy	03/02/15	L		
322.					Sold (part)	11/30/15	L		
323.					Buy (add'l)	06/01/15	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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.					Buy (add'l)	06/29/15	K		
325.					Sold	07/08/15	L		
326. - First TR Exchange Traded Alphadex Eurozone		None			Sold (part)	01/20/15	J		
327.					Sold	02/03/15	M		
328. - First TR Enhanced Short Maturity FD	A	Dividend			Buy (add'l)	01/20/15	L		
329.					Buy (add'l)	01/21/15	L		
330.					Buy (add'l)	02/03/15	N		
331.					Sold (part)	03/02/15	M		
332.					Sold (part)	03/16/15	J	A	
333.					Sold (part)	05/26/15	L	A	
334.					Sold (part)	06/01/15	M	A	
335.					Sold (part)	06/29/15	M		
336.					Sold	07/08/15	K		
337. - Newpark Resources Inc Conv SR	A	Dividend	K	T	Buy	07/13/15	K		
338. - M/I Homes Inc Conv SR		None	K	T	Buy	12/03/15	K		
339. - Helix Energy Solutions Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
340. - Redwood TR Inc Conv SR	A	Dividend	K	T	Buy	07/10/15	K		

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

FINANCIAL DISCLOSURE REPORT

Page 25 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Broadsoft Inc Conv SR		None	K	T	Buy	07/20/15	K		
342. - Blackstone Mortgage TR Conv SR	A	Dividend	K	T	Buy	07/15/15	K		
343. - Finisar Corp Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
344. - KB Home Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
345. - Apollo Commrl Real Esate FI Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
346.					Buy (add'l)	07/29/15	J		
347. - Ryland Group Conv Senior notes	A	Dividend	K	T	Buy	07/10/15	K		
348. - New Mountain Finance Cor Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
349. - Hornbeck Offshore Serv Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
350. - ANI Pharmaceuticals Inc Con SR	A	Dividend	K	T	Buy	11/11/15	K		
351. - TPG Speciality Lending In Con SR	A	Dividend	K	T	Buy	07/10/15	K		
352. - Evestnet Inc Conv	A	Dividend	K	T	Buy	07/29/15	K		
353. - TCP Capital Corp Conv SR	A	Dividend	K	T	Buy	07/15/15	K		
354. - Resource Capital Corp Conv SR		None	K	T	Buy	07/13/15	K		
355. - Echo Global Logistics Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
356.					Buy (add'l)	12/04/15	J		
357. - Pennymac Corp Conv SR	A	Dividend	K	T	Buy	07/10/15	K		

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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. - Sandisk Corp Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
359. - Seacor Holdings Inc Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
360.					Buy (add'l)	08/03/15	J		
361. - Colony Capital Inc Con SR		None	K	T	Buy	07/10/15	K		
362. - Goldman Sachs Group		None	J	T	Buy	07/10/15	K		
363. - Encore Capital Grp Inc Conv	A	Dividend	K	T	Buy	07/15/15	K		
364. - National Health Investor Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
365. - Sunpower Corp Conv SR	A	Dividend	K	T	Buy	09/18/15	K		
366. - J2 Global Communications Conv SR	A	Dividend	K	T	Buy	07/15/15	K		
367. - Atlas Air Worldwind Hldg Conv SR	A	Dividend	K	T	Buy	07/10/15	K		
368.					Buy (add'l)	12/03/15	J		
369. - UBS AG London Conv SR Callable Bond		None	K	T	Buy	07/10/15	K		
370. - Barclays Bank PLC Convertible Notes LKD To CMN STK Intl		None	K	T	Buy	07/10/15	K		
371. - Barclays Bank PLC Conv Medium Term Notes Conv Lnkd to Bacr		None	K	T	Buy	07/10/15	K		
372. - Barclays Bank PLC Medium Term Notes CPN		None			Buy	07/10/15	K		
373.					Sold	09/18/15	K		
374. - Pimco ETF Trust Enhanced Short Maturity FD	A	Dividend			Buy	02/18/15	M		

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)
375.					Sold	03/02/15	M		
376.					Buy	03/16/15	L		
377.					Buy (add'l)	03/17/15	M		
378.					Sold (part)	03/30/15	L	A	
379.					Sold	05/26/15	L	A	
380. - First Trust Japan Alphadex FD	A	Dividend			Buy	03/02/15	L		
381.					Sold (part)	03/30/15	J	A	
382.					Buy (add'l)	06/29/15	K		
383.					Sold (part)	06/01/15	K	B	
384.					Sold	07/08/15	L		
385. - First Trust Energy ETF Alphadex Fund	A	Dividend			Buy	03/30/15	M		
386.					Buy (add'l)	06/29/15	J		
387.					Sold	07/08/15	M		
388. - First Trust Canada Alphadex Fund	A	Dividend			Buy	06/01/15	L		
389.					Sold	06/29/15	L		
390. - First Trust Health Career TF Alphadex FD		None			Buy	06/29/15	M		
391.					Sold	07/08/15	M		

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)
392. - Acorda Therapeutics Inc Conv SR		None			Buy	07/14/15	K		
393.					Sold	11/17/15	K	B	
394. - Royal Gold Inc Conv SR		None			Buy	07/28/15	K		
395.					Sold	11/09/15	K		
396. PMC Family LLC	A	Rent	M	W					
397. The Sequoia Fund	B	Dividend	K	T	Buy (add'l)	01/02/15	J		
398.					Buy (add'l)	02/02/15	J		
399.					Buy (add'l)	03/02/15	J		
400.					Buy (add'l)	04/01/15	J		
401.					Buy (add'l)	05/01/15	J		
402.					Buy (add'l)	06/01/15	J		
403.					Buy (add'l)	07/01/15	J		
404.					Buy (add'l)	08/03/15	J		
405.					Buy (add'l)	09/01/15	J		
406.					Buy (add'l)	10/01/15	J		
407.					Buy (add'l)	11/02/15	J		
408.					Buy (add'l)	11/23/15	J		

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

FINANCIAL DISCLOSURE REPORT

Page 29 of 37

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/13/2016

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)	12/01/15	J		
410. Trust #18 (H)									
411. - Bank Deposit Sweep	A	Interest	J	T	Open	07/15/15	O		
412. - Gwinnett Cnty GA WRT & SWR Auth Rev CPN		None	L	T	Buy	08/24/15	L		
413.					Buy (add'l)	12/30/15	J		
414. - Mc Kinney TX RFDG C/O LTD	B	Interest	L	T	Buy	07/28/15	L		
415. - West Wilson Util Dist TN WTR WKS Rev	A	Interest	L	T	Buy	07/29/15	L		
416. - Montana ST BRD Regents High Ed Rev	A	Interest	K	T	Buy	07/24/15	K		
417. - West VA ST 1991 and Subsequent Maturities RFDG	B	Interest	K	T	Buy	08/24/15	L		
418. - Ocean Cnty NJ RFDG SER A G/O Unl TD		None	L	T	Buy	08/07/15	L		
419. - Port Seattle WA REV RFDG Inter Ser a	A	Interest	K	T	Buy	07/28/15	K		
420. - Metropolitan Transn Auth NY Rev	A	Interest	L	T	Buy	07/24/15	L		
421. - New York NY City Transntl Fln Auth Bldg Aid Rev		None	K	T	Buy	08/20/15	K		
422. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlyng FD Ser C	B	Interest	L	T	Buy	07/30/15	L		
423. - New York ST Envmntl Facs Corp Rev ST Ser D		None	L	T	Buy	08/06/15	L		
424. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	A	Interest	L	T	Buy	08/05/15	L		
425. - New York ST Dorm Uth Revs Non ST Supported Debt CPN		None	L	T	Buy	08/07/15	L		

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. - Idaho Hlth Facs Suth Rev Trinity Health CR Grp	A	Interest	K	T	Buy	08/04/15	K		
427. Trust #19 (H)									
428. - Bank Deposit Sweep		None	J	T	Open	07/15/15	M		
429. -First TR Global Tactical Commodity Strategy FD		None	J	T	Buy	07/22/15	J		
430.					Sold (part)	08/07/15	J		
431. - iShares Russell 1000 Value FD	A	Dividend	J	T	Buy	07/22/15	J		
432. - iShares Core S&P 500 Index FD	A	Dividend	K	T	Buy	07/22/15	K		
433.					Buy (add'l)	08/07/15	J		
434. - SPDR S&P Intl Small Cap	A	Dividend	J	T	Buy	07/22/15	J		
435. - Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Buy	07/22/15	K		
436.					Sold (part)	08/07/15	J		
437. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend	J	T	Buy	07/22/15	J		
438.					Buy (add'l)	08/07/15	J		
439. - Vanguard Mid Cap	A	Dividend	K	T	Buy	07/22/15	K		
440. - Vanguard REIT	A	Dividend	J	T	Buy	07/22/15	J		
441. - Vanguard Small Cap Value VBR	A	Dividend	J	T	Buy	07/22/15	J		
442. - Vanguard Small Cap VB	A	Dividend	K	T	Buy	07/22/15	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		

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. - Vanguard Total Bond Market BND	A	Dividend	J	T	Buy	07/22/15	J		
444. IRA #6 (H)									
445. - Invesco Global Real Estate	A	Dividend	K	T	Buy	07/20/15	J		
446.					Buy (add'l)	08/05/15	J		
447. - Deutsche Secs TR Enhanced commodity Strat FD Instl Class		None	J	T	Buy	12/16/15	J		
448. - Columbia Select Large Cap Growth Fund CL Z	B	Dividend	K	T	Buy	07/20/15	K		
449.					Sold (part)	08/04/15	J		
450. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T	Buy	07/20/15	K		
451.					Sold (part)	08/04/15	J		
452. - Goldman Sachs TR Finl Square Treas Instrs FD Inst CL		None	J	T	Buy	07/20/15	J		
453. - John Hancock FDS II Global Absolute Return Strategies FD CL I	B	Dividend	K	T	Buy	07/20/15	K		
454. - Hotchkis & Wiley FDS Mid Cap Value FD CL I	B	Dividend	K	T	Buy	07/20/15	K		
455. - John Hancock Funds II Absolute Return Currency FD CL I		None	J	T	Buy	07/20/15	J		
456.					Sold (part)	08/04/15	J	A	
457. - Aberdeen Total Return Bnd Fund CL I	A	Dividend	K	T	Buy	07/20/15	K		
458.					Buy (add'l)	08/05/15	J		
459. - MFS Ser TR I Value FD	B	Dividend	K	T	Buy	07/20/15	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)

460.					Sold (part)	08/04/15	J		
461. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	J	T	Buy	08/04/15	J		
462. - JP Morgan TR I US Large Cap Core Plus FD SEL CL	C	Dividend	K	T	Buy	07/20/15	K		
463.					Sold (part)	08/04/15	J		
464. - Neuberger Berman Alternative FDs Long Short FD Instl CL	A	Dividend	J	T	Buy	01/15/15	J		
465.					Buy (add'l)	07/20/15	J		
466. - American Europacific Growth FU CL F2	A	Dividend	K	T	Buy	07/20/15	K		
467.					Buy (add'l)	08/05/15	J		
468. - Investment Managers SER TR Oak Ridge Small CP Growth FD CL I	A	Dividend	K	T	Buy	07/20/15	K		
469.					Sold (part)	07/15/15	J		
470. - Oppenheimer Dev Mkts CL Y	A	Dividend	K	T	Buy	07/20/15	K		
471.					Buy (add'l)	08/05/15	J		
472. - Oppenhiemer Intl BD FD CL Y	A	Dividend	J	T	Buy	07/20/15	J		
473. - Principal FDS Inc High Yield FD Instl CL	A	Dividend	K	T	Buy	07/20/15	J		
474.					Buy (add'l)	08/04/15	J		
475. - Victory Sycamore Small Co Oppty FD CL I	A	Dividend	J	T	Buy	07/20/15	J		
476. - Arbitrage FD CL I		None			Buy	01/15/15	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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)
477.					Sold	01/27/15	J	A	
478. - Brandes Invt TR Instl Emerging Mkts FD	A	Dividend			Buy	01/15/15	J		
479.					Sold	07/15/15	J		
480. - Dodge & Cox STK FD	B	Dividend			Buy	01/15/15	K		
481.					Sold	07/15/15	K	B	
482. - Dodge & Cox Income FD	A	Dividend			Buy	01/15/15	J		
483.					Buy (add'l)	01/28/15	J		
484.					Sold	07/15/15	J		
485. - Dodge & Cox FDS Intl STK FD		None			Buy	01/15/15	J		
486.					Sold	07/15/15	J	A	
487. - Federated Equity FDS Strategic Value Dividend FD Instl	A	Dividend			Buy	01/15/15	K		
488.					Sold	07/15/15	K	A	
489. - Harris Assoc Invt TR Oakmark Select FD CL I		None			Buy	01/15/15	J		
490.					Sold	07/15/15	J	A	
491. - JP Morgan TR I Strategic Income Oppty Sel CL	A	Dividend			Buy	01/15/15	J		
492.					Sold	07/15/15	J		
493. - Matthews Intl FD Asian Growth & Income FD Investor Class	A	Dividend			Buy	01/15/15	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)
494.					Sold	07/15/15	J	A	
495. - Natixis FDS TR I Oakmark Intl FD	A	Dividend			Buy	01/15/15	J		
496.					Sold	07/15/15	J	A	
497. - Nuveen Invst FDS Inc Real Asset Income FD CL I	A	Dividend			Buy	01/15/15	J		
498.					Sold	07/15/15	J		
499. - WHV International Equity FD CL I		None			Buy	01/15/15	J		
500.					Sold	07/15/15	J	A	
501. - Virtus Emerging Markets Opportunities FND CL I		None			Buy	01/15/15	J		
502.					Sold	07/15/15	J	A	
503. - Pimco Equity SER EQS Long/Short FD CL P		None			Buy	01/15/15	J		
504.					Sold	07/15/15	J	A	
505. - Pimco All Asset FND Inst CL I	A	Dividend			Buy	01/15/15	J		
506.					Sold	07/15/15	J		
507. - Primecap Odyssey Growth		None			Buy	01/15/15	K		
508.					Sold	07/15/15	K	B	
509. - Vanguard Specialized Portfolios Energy Port Investor CL		None			Buy	01/15/15	J		
510.					Sold	07/15/15	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)
511. - Virtus Opportunities Trust Dynamic Alphasector FD CL I		None			Buy	01/15/15	J		
512.					Sold	07/15/15	J	A	
513. - Doubleline FDS TR Total Return BD FD	A	Dividend			Buy	01/16/15	J		
514.					Sold	07/15/15	J		
515. - Pimco FDS Pac Invt Mgmt SER Commodity Real Return Strat FD Instl CL	A	Dividend			Buy	07/20/15	J		
516.					Sold	12/15/15	J		
517. - Pimco FDS PAC Invt Mgmt SER Diversified Income FD Instl CL	A	Dividend			Buy	07/20/15	K		
518.					Sold	08/04/15	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	

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

Asset listed in Part VII, Line 134, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Asset listed in Part VII, Line 133, has rental income from property located in Newark, DE.

Asset listed in Part VII, Line 396, has rental income from property located in New Castle County, DE.

Assets listed in Part VII, lines 245, 585 of the prior year report, should have been listed as Sold not Sold (part). The assets were completely sold in 2014.

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