

AO 10  
Rev. 1/2010

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2009**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

|                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                           |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Ambro, Thomas L.                                                                                                                  | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals, 3rd Cir                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>05/4/2010                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Circuit Judge - Active                                                | <b>5a. Report Type</b> (check appropriate type)<br><br><input type="checkbox"/> Nomination,      Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2009<br>to<br>12/31/2009 |
| <b>7. Chambers or Office Address</b><br><br>Federal Courthouse<br>844 King Street, Lock Box 32<br>Wilmington, DE 19801                                                                                 | <b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b><br><br>Reviewing Officer _____ Date _____                                          |                                                                  |
| <b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page. |                                                                                                                                                                                                                                                                           |                                                                  |

**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. President         | Richard S. Rodney Inn of Court                                                  |
| 4. Member            | Georgetown University Northern Delaware Alumni Admissions Program               |
| 5. Member            | Board of Editors, Delaware Lawyer                                               |
| 6. Member            | Board of Editors, Delaware Law Review                                           |
| 7. Member            | Board of Trustees of the American Inns of Court                                 |
| 8. Member            | Editorial Board of The Business Lawyer                                          |
| 9. Member            | Editorial Board of Business Law Today                                           |
| 10. Member           | Executive Committee of the Board of Directors of the Federal Judges Association |

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

RECEIVED  
2010 MAY -6 A 10:24  
FEDERAL JUDICIAL  
ENCLOSURE OFFICE

Ambro, Thomas L.

**FINANCIAL DISCLOSURE REPORT**  
Page 2 of 19

| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Ambro, Thomas L.         | 05/4/2010      |

---

2

---

3

---

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

**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><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 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 2009      | 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. | Georgetown University Law Center    | Apr 1-4, 2009        | Washington, DC    | Moot Court Competition                 | Transportation, Lodging & Meals |
| 2. | University of Alabama School of Law | Apr 7-9, 2009        | Tuscaloosa, AL    | Moot Court Competition                 | Transportation                  |
| 3. | American Bar Association            | Apr 15-19, 2009      | Vancouver, CA     | Annual Meeting                         | Transportation, Lodging & Meals |
| 4. | American Bar Association            | May 18-19, 2009      | New York City, NY | Participant in Educational Program     | Transportation                  |
| 5. | American Bar Association            | Jul 31 - Aug 3, 2009 | Chicago, IL       | Section of Business Law Annual Meeting | Transportation, Lodging & Meals |
| 6. | American Bar Association            | Oct 19-20, 2009      | New York City, NY | Attendance at Educational              | Transportation, Lodging & Meals |

**FINANCIAL DISCLOSURE REPORT**  
Page 4 of 19

Name of Person Reporting  
Ambro, Thomas L.

Date of Report  
05/4/2010

|    |                          |               | Program        |                                 |
|----|--------------------------|---------------|----------------|---------------------------------|
| 7. | American Bar Association | Nov 19, 2009  | Washington, DC | Attendance at Meeting           |
|    |                          |               |                | Transportation                  |
| 8. | Yale Law School          | Dec 6-8, 2009 | New Haven, CT  | Moot Court Competition          |
|    |                          |               |                | Transportation, Lodging & Meals |

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

**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. Commerce Bank, N.A., now known as TD Bank | Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 146) | P1                |
| 2. Commerce Bank, N.A., now known as TD Bank | Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 146) | P1                |
| 3. Commerce Bank, N.A., now known as TD Bank | Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 146) | P1                |
| 4. _____                                     | _____                                                                        | _____             |
| 5. _____                                     | _____                                                                        | _____             |

**FINANCIAL DISCLOSURE REPORT**  
Page 6 of 19

Name of Person Reporting  
**Ambro, Thomas L.**

Date of Report  
**05/4/2010**

**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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                 | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|---------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Wilmington Trust Account                                                                                                 | A                                       | Interest                                      | K                                               | T                               |                                                 |                         |                                 |                                |                                                                   |
| 2. Wilmington Trust Account                                                                                                 | A                                       | Interest                                      | J                                               | T                               |                                                 |                         |                                 |                                |                                                                   |
| 3. Wilmington Tax Exempt Investor                                                                                           |                                         | None                                          | J                                               | T                               |                                                 |                         |                                 |                                |                                                                   |
| 4. Delaware State Bond 6.1%                                                                                                 |                                         | None                                          | K                                               | T                               |                                                 |                         |                                 |                                |                                                                   |
| 5. Glasgow Professional Properties Inc                                                                                      |                                         | None                                          |                                                 |                                 | Closed                                          | 12/30/09                | N                               | G                              |                                                                   |
| 6. Trust Account #6                                                                                                         | C                                       | Dividend                                      | M                                               | T                               |                                                 |                         |                                 |                                |                                                                   |
| 7. - Evergreen Municipal Money Market FD<br>(cash equivalent)                                                               |                                         |                                               |                                                 |                                 |                                                 |                         |                                 |                                |                                                                   |
| 8. - Centerpoint Energy Inc                                                                                                 |                                         |                                               |                                                 |                                 |                                                 |                         |                                 |                                |                                                                   |
| 9. - Harris Assoc Oakmark I                                                                                                 |                                         |                                               |                                                 |                                 | Sold<br>(part)                                  | 07/21/09                | J                               |                                |                                                                   |
| 10. - Southwest Water Co                                                                                                    |                                         |                                               |                                                 |                                 |                                                 |                         |                                 |                                |                                                                   |
| 11. Trust Account #7                                                                                                        | D                                       | Int./Div.                                     | P1                                              | T                               |                                                 |                         |                                 |                                |                                                                   |
| 12. - Oakmark Global Fund Cl. I                                                                                             |                                         |                                               |                                                 |                                 | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 13.                                                                                                                         |                                         |                                               |                                                 |                                 | Sold                                            | 12/03/09                | L                               |                                |                                                                   |
| 14. - Bridgeway Ultra-Small Co                                                                                              |                                         |                                               |                                                 |                                 | Sold                                            | 11/25/09                | J                               |                                |                                                                   |
| 15. - T Rowe Price Cap Appr FD                                                                                              |                                         |                                               |                                                 |                                 | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                 | Sold                                            | 03/16/09                | L                               |                                |                                                                   |
| 17. - Fairholme Fund                                                                                                        |                                         |                                               |                                                 |                                 | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |

1. Income Gain Codes  
(See Columns B1 and D4)  
2. Value Codes  
(See Columns C1 and D3)

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  
Q = Appraisal  
U = Book Value

B = \$1,001 - \$2,500  
G = \$100,001 - \$1,000,000  
K = \$15,001 - \$50,000  
O = \$500,001 - \$1,000,000  
R = Cost (Real Estate Only)  
V = Other

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  
S = Assessment  
W = Estimated

D = \$5,001 - \$15,000  
H2 = More than \$5,000,000  
M = \$100,001 - \$250,000  
P2 = \$5,000,001 - \$25,000,000  
T = Cash Market

E = \$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 7 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                           |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|---------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>(mm/dd/yy) | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. - CGM Focus Fund                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                  | J                               |                                |                                                                   |
| 19. - T Rowe Price Equity Income                                                                                            |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                  | L                               |                                |                                                                   |
| 20. - Duke Energy Corp                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                           |                                 |                                |                                                                   |
| 21. - Microsoft Corp                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/10/09                  | J                               |                                |                                                                   |
| 22.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/10/09                  | J                               |                                |                                                                   |
| 23.                                                                                                                         |                                         |                                               |                                                 |                                           | Donated<br>(part)                               |                           |                                 |                                |                                                                   |
| 24. - Artio Global INVT FDS Intl Equity FD II                                                                               |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                  | J                               |                                |                                                                   |
| 25. - The Southern Company                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                           |                                 |                                |                                                                   |
| 26. - Federated Strategic Value Fund                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 3/9/09                    | J                               |                                |                                                                   |
| 27. - Federated Municipal Untrashort Fund<br>Institutional                                                                  |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/10/09                  | J                               |                                |                                                                   |
| 28.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/13/09                  | J                               |                                |                                                                   |
| 29.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                  | L                               | A                              |                                                                   |
| 30. - WSFS Financial Corp                                                                                                   |                                         |                                               |                                                 |                                           | Buy                                             | 3/10/09                   | J                               |                                |                                                                   |
| 31.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 3/13/09                   | J                               |                                |                                                                   |
| 32. - Harris Assoc INVT TR Oakmark Equity &<br>Income FD                                                                    |                                         |                                               |                                                 |                                           | Buy                                             | 3/19/09                   | L                               |                                |                                                                   |
| 33. - Harris Assoc INVT TR Oakmark Global<br>Select FD                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 12/03/09                  | L                               |                                |                                                                   |
| 34. - Nuveen Tradewinds Global All Cap FD                                                                                   |                                         |                                               |                                                 |                                           | Buy                                             | 6/18/09                   | L                               |                                |                                                                   |

1. Income Gain Codes  
(See Columns H and I41)

A = \$1,000 or less  
B = \$50,001 - \$100,000

U = \$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  
I12 = More than \$5,000,000

L = \$15,001 - \$50,000

2. Value Codes  
(See Columns C1 and D3)

J = \$1,000 or less  
N = \$250,001 - \$500,000  
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000  
Q = \$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 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. - Oppenheimer Limited Term Municipal Fund                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 12/07/09                | O                               |                                |                                                                   |
| 36. - Oppenheimer Funds Rochester Natl Muni CL A                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 3/10/09                 | K                               |                                |                                                                   |
| 37. IRA Account #1                                                                                                         | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. - Oakmark Global Fund                                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 6/15/09                 | J                               |                                |                                                                   |
| 39. - Oakmark Fund Class 1                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. - Bridgeway FD Inc                                                                                                     |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | J                               |                                |                                                                   |
| 41. - Franklin Cust Income FD                                                                                              |                                         |                                               |                                                 |                                           | Sold                                            | 2/18/09                 | K                               |                                |                                                                   |
| 42. - T Rowe Price Cap Appr FD                                                                                             |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 43.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/16/09                | J                               |                                |                                                                   |
| 44. - Dodge & Cox Intl Stock Fund                                                                                          |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 45. - Fairholme Fund                                                                                                       |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 46. - Federated Strategic Value Fund                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 47. - Harris Assoc Invt TR Oakmark Equity & Income                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/19/09                | J                               |                                |                                                                   |
| 48.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 3/09/09                 | J                               |                                |                                                                   |
| 49.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/16/09                | J                               |                                |                                                                   |
| 50. - Artio Global INVT FDS Intl Equity FD II                                                                              |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 3/9/09                  | J                               |                                |                                                                   |
| 51. - Kinetics Mutual Funds Inc Paradigm FD                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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  
I2 = 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)

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 19

Name of Person Reporting  
**Ambro, Thomas L.**

Date of Report  
**05/4/2010**

**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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Loomis Sayles Inv't TR Bond Class R                                                                                  |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | K                               | D                              |                                                                   |
| 53. - Harris Assoc INVT TR Oakmark Global Select FD                                                                        |                                         |                                               |                                                 |                                           | Buy                                             | 03/11/09                | J                               |                                |                                                                   |
| 54. - Pimco unconstrained BD Fund CL Institutional                                                                         |                                         |                                               |                                                 |                                           | Sold (part)                                     | 03/11/09                | J                               | A                              |                                                                   |
| 55.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 12/07/09                | J                               |                                |                                                                   |
| 56. - TCW FDS Inc Total Return BD FD                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 06/15/09                | J                               |                                |                                                                   |
| 57.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 12/07/09                | J                               |                                |                                                                   |
| 58. - Templeton Global Total Return FD                                                                                     |                                         |                                               |                                                 |                                           | Buy                                             | 12/08/09                | K                               |                                |                                                                   |
| 59. IRA Account #2                                                                                                         | E                                       | Int./Div.                                     | PI                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. - Dominion Res Inc VA New                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. - Tecu Energy Inc                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 62. - Oakmark Global Fund                                                                                                  |                                         |                                               |                                                 |                                           | Sold (part)                                     | 03/09/09                | J                               |                                |                                                                   |
| 63.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/15/09                | L                               |                                |                                                                   |
| 64. - Bridgeway FD Inc Ultra-Small Co                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | K                               |                                |                                                                   |
| 65. - Centerpoint Energy Inc                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 66. - Franklin Cust Income FD                                                                                              |                                         |                                               |                                                 |                                           | Sold                                            | 02/18/09                | M                               |                                |                                                                   |
| 67. - T Rowe Price Cap Appr Fund                                                                                           |                                         |                                               |                                                 |                                           | Sold                                            | 03/16/09                | M                               |                                |                                                                   |
| 68. - Dodge & Cox Intl Stock Fund                                                                                          |                                         |                                               |                                                 |                                           | Sold (part)                                     | 03/09/09                | 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

2. Value Codes  
(See Columns C1 and D3)

J = \$15,000 or less  
N = \$250,001 - \$500,000

K = \$50,001 - \$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  
(1) = Book Value

R = Cost (Real Estate Only)  
V = Other

P4 = More than \$50,000,000  
S = Assessment  
W = Estimated

T = Cash Market

**FINANCIAL DISCLOSURE REPORT**  
Page 10 of 19

Name of Person Reporting  
**Ambro, Thomas L.**

Date of Report  
**05/4/2010**

**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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. - Fairholme Fund                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | N                               |                                |                                                                   |
| 70. - Rowe T Price Equity Income FD                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 71. - Chesapeake Energy Corp                                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 07/2/09                 | K                               |                                |                                                                   |
| 72. - Devon Energy Corp New                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 73. - Hornbeck Offshore Services Inc                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | K                               | D                              |                                                                   |
| 74. - XTO Energy Inc                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 75. - Dodge & Co Global Stock Fund                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 76. - Federated Strategic Value Fund Class                                                                                  |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/02/09                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/02/09                | J                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/01/09                | J                               |                                |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/01/09                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/01/09                | J                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/30/09                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/31/09                | J                               |                                |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/01/09                | J                               |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 09/28/09                | K                               |                                |                                                                   |

|                                                 |                                                                                                                                          |                                                                                                                |                                                                                                                                                    |                                                                                                                      |                         |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000<br>J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000<br>K = \$15,001 - \$50,000<br>Q = \$500,001 - \$1,000,000 | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000<br>I = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | D = \$5,001 - \$15,000<br>I2 = More than \$5,000,000<br>M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)       | Q = Appraisal<br>U = Book Value                                                                                                          | R = Cost (Real Estate Only)<br>V = Other                                                                       | S = Assessment<br>W = Estimated                                                                                                                    | T = Cash Market                                                                                                      |                         |
| 3. Value Method Codes<br>(See Column C2)        |                                                                                                                                          |                                                                                                                |                                                                                                                                                    |                                                                                                                      |                         |

# FINANCIAL DISCLOSURE REPORT

Page 11 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. - Harris Assoc Invst TR Oakmark Global<br>Select Fund                                                                  |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 3/11/09                 | K                               |                                |                                                                   |
| 87. - Harris Assoc Invst TR Oakmark Equity &<br>Income Fund                                                                |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 02/19/09                | M                               |                                |                                                                   |
| 88.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 3/09/09                 | K                               |                                |                                                                   |
| 89.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 3/16/09                 | M                               |                                |                                                                   |
| 90.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/25/09                | M                               | C                              |                                                                   |
| 91.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/30/09                | J                               | B                              |                                                                   |
| 92. - Arto Global INVT FDS Intl Equity FD II                                                                               |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 3/09/09                 | J                               |                                |                                                                   |
| 93. - Kinetics Mutual FDS Inc Paradigm FD                                                                                  |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 94. - Loomis Sayles Invst TR                                                                                               |                                        |                                               |                                                |                                           | Sold                                            | 11/25/09                | M                               | E                              |                                                                   |
| 95. - Market Vector Gold Miners GDX                                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 03/09/09                | K                               |                                |                                                                   |
| 96. - Pimco Unconstrained Bd Fund CL<br>Institutional                                                                      |                                        |                                               |                                                |                                           | Buy                                             | 12/07/09                | L                               |                                |                                                                   |
| 97. - WHIV International Equity FD CL                                                                                      |                                        |                                               |                                                |                                           | Buy                                             | 08/25/09                | M                               |                                |                                                                   |
| 98. - TCW FDS Inc Total Return BD FD                                                                                       |                                        |                                               |                                                |                                           | Buy                                             | 06/15/09                | K                               |                                |                                                                   |
| 99.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/07/09                | L                               |                                |                                                                   |
| 100. - Templeton Global Total Return FD                                                                                    |                                        |                                               |                                                |                                           | Buy                                             | 09/29/09                | L                               |                                |                                                                   |
| 101.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/08/09                | M                               |                                |                                                                   |
| 102.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 12/09/09                | L                               | B                              |                                                                   |

1. Income/Gain Codes  
(See Columns B1 and D4)

2. Value Codes  
(See Columns C1 and D3)

3. Value Method Codes  
(See Column C2)

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  
Q = Appraisal  
U = Book Value

B = \$1,001 - \$2,500  
G = \$100,001 - \$1,000,000  
K = \$15,001 - \$50,000  
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)  
V = Other

C = \$2,501 - \$5,000  
H11 = \$1,000,001 - \$5,000,000  
L = \$50,001 - \$100,000  
P1 = \$1,000,001 - \$5,000,000  
P4 = More than \$50,000,000  
S = Assessment  
W = Estimated

D = \$5,001 - \$15,000  
H12 = More than \$5,000,000  
M = \$100,001 - \$250,000  
P2 = \$5,000,001 - \$25,000,000  
T = Cash Market

I = \$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 12 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. - Templeton Funds Income TR GLB BD<br>Advisor                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 12/10/09                | L                               |                                |                                                                   |
| 104. - Vanguard Inflation Protected Securities FD                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 01/22/09                | K                               |                                |                                                                   |
| 105. - Novatel Wireless Inc                                                                                                 |                                         |                                               |                                                 |                                           | Buy                                             | 09/30/09                | J                               |                                |                                                                   |
| 106.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | J                               |                                |                                                                   |
| 107. - Pimco Total Return FD Inst CL                                                                                        |                                         |                                               |                                                 |                                           | Buy                                             | 03/10/09                | K                               |                                |                                                                   |
| 108.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 03/11/09                | L                               | A                              |                                                                   |
| 109. - Vanguard Fixed Income Securities FD<br>Short Term                                                                    |                                         |                                               |                                                 |                                           | Buy                                             | 06/15/09                | K                               |                                |                                                                   |
| 110.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/3/09                 | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/01/09                | J                               |                                |                                                                   |
| 112.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/01/09                | J                               |                                |                                                                   |
| 113.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/02/09                | J                               |                                |                                                                   |
| 114.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | K                               | A                              |                                                                   |
| 115. - Artio Global INVT FDS GLBL High<br>Income FD                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 06/15/09                | K                               |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/30/09                | J                               |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/31/09                | J                               |                                |                                                                   |
| 118.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/31/09                | J                               |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 09/28/09                | K                               | C                              |                                                                   |

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  
I12 = 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)

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 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Trust Account #12                                                                                                     | D                                      | Int./Div.                                     | O                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 121. - Oakmark Global Fund                                                                                                 |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 122.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 12/03/09                | K                               |                                |                                                                   |
| 123. - T Rowe Price Cap Appr Fund                                                                                          |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/24/09                | J                               |                                |                                                                   |
| 124.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 125.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/16/09                | L                               |                                |                                                                   |
| 126. - Fairholme Fund                                                                                                      |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 11/25/09                | J                               | B                              |                                                                   |
| 127.                                                                                                                       |                                        |                                               |                                                |                                           | Donated<br>(part)                               |                         |                                 |                                |                                                                   |
| 128. - CGM Focus Fund                                                                                                      |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 129. - Dodge & Cox Intl Stock Fund                                                                                         |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 130. - Alpine Income TR Mun Money                                                                                          |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/25/09                | J                               |                                |                                                                   |
| 131.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/05/09                | J                               |                                |                                                                   |
| 132. - Chesapeake Energy Corp                                                                                              |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/21/09                | K                               | A                              |                                                                   |
| 133.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 08/05/09                | K                               | D                              |                                                                   |
| 134. - Cisco Systems Inc                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 135. - Hornbeck Offshore Services Inc                                                                                      |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/05/09                | J                               |                                |                                                                   |
| 136.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 11/25/09                | 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 D1)

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 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. - Johnson & Johnson                                                                                                   |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 138. - Arrio Global INVT FDS Intl Equity FD II                                                                             |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 139. - Kinetics Mutual FDS Inc Paradigm FD                                                                                 |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/09/09                | J                               |                                |                                                                   |
| 140. - Cadence Design Systems Inc                                                                                          |                                        |                                               |                                                |                                           | Buy                                             | 02/27/09                | J                               |                                |                                                                   |
| 141. - Microsoft Corp                                                                                                      |                                        |                                               |                                                |                                           | Buy                                             | 02/25/09                | J                               |                                |                                                                   |
| 142. - Oracle Corp                                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 03/10/09                | J                               |                                |                                                                   |
| 143. - Range Resources Corp                                                                                                |                                        |                                               |                                                |                                           | Buy                                             | 07/21/09                | K                               |                                |                                                                   |
| 144. - Harris Assoc INVT TR Oakmark Global<br>Select FD                                                                    |                                        |                                               |                                                |                                           | Buy                                             | 12/03/09                | K                               |                                |                                                                   |
| 145. - Harris Assoc INVT TR Oakmark Equity &<br>Income FD                                                                  |                                        |                                               |                                                |                                           | Buy                                             | 03/18/09                | L                               |                                |                                                                   |
| 146. - Oppenheimer Funds Rochester Natl Mun<br>CL A                                                                        |                                        |                                               |                                                |                                           | Buy                                             | 03/10/09                | K                               |                                |                                                                   |
| 147. - WHV International Equity FD                                                                                         |                                        |                                               |                                                |                                           | Buy                                             | 08/25/09                | K                               |                                |                                                                   |
| 148. - Oppenheimer Limited Term Municipal<br>Fund Class A                                                                  |                                        |                                               |                                                |                                           | Buy                                             | 12/07/09                | K                               |                                |                                                                   |
| 149. Springside, LLC (2000 - \$300,000)                                                                                    |                                        | None                                          | P1                                             | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. Legg Mason Opportunity Trust                                                                                          |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 151. Middletown Professional Properties, LLC,<br>(2004 - \$80,925)                                                         | E                                      | Rent                                          | L                                              | R                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. Schneider Value Fund                                                                                                  | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. Trust #13                                                                                                             | D                                      | Int./Div.                                     | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

1. Income Gain Codes  
(See Columns B1 and D4)

2. Value Codes  
(See Columns C1 and D3)

3. Value Method Codes  
(See Column C2)

A = \$1,000 or less  
F = \$50,001 - \$100,000

J = \$15,000 or less  
N = \$250,001 - \$500,000

P1 = \$25,000,001 - \$50,000,000

Q = Appraisal  
U = Book Value

U = \$1,001 - \$2,500  
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000  
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)  
V = Other

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

S = Assessment  
W = Estimated

D = \$5,001 - \$15,000  
H2 = More than \$5,000,000

M = \$100,001 - \$250,000  
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 15 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. - Nuveen Tridwinds Gbl                                                                                                |                                        |                                               |                                                |                                           | Sold                                            | 06/16/09                | L                               |                                |                                                                   |
| 155. - Alpine Income TR Mun Money Mkt                                                                                      |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 02/06/09                | M                               |                                |                                                                   |
| 156.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/02/09                | M                               |                                |                                                                   |
| 157.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/11/09                | L                               |                                |                                                                   |
| 158.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/16/09                | L                               |                                |                                                                   |
| 159.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/23/09                | J                               |                                |                                                                   |
| 160.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 11/25/09                | J                               |                                |                                                                   |
| 161. - Federated Municipal Ultrashort Fund<br>Institutional Class                                                          |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 01/22/09                | M                               | A                              |                                                                   |
| 162.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 02/11/09                | M                               |                                |                                                                   |
| 163.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/16/09                | M                               |                                |                                                                   |
| 164.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 03/26/09                | M                               |                                |                                                                   |
| 165. - Vanguard Municipal Bond Fund High<br>Yield                                                                          |                                        |                                               |                                                |                                           | Buy                                             | 03/26/09                | M                               |                                |                                                                   |
| 166.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/01/09                | J                               |                                |                                                                   |
| 167.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/01/09                | J                               |                                |                                                                   |
| 168.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/01/09                | J                               |                                |                                                                   |
| 169.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/01/09                | J                               |                                |                                                                   |
| 170.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/03/09                | 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 = \$5,000,001 - \$25,000,000

E = \$15,001 - \$50,000  
J = More than \$5,000,000

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)

Q = Appraisal  
U = Book Value

R = Cost (Real Estate Only)  
V = Other

S = Assessment  
W = Estimated

T = Cash Market

# FINANCIAL DISCLOSURE REPORT

Page 16 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/01/09                | J                               |                                |                                                                   |
| 172.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/01/09                | J                               |                                |                                                                   |
| 173.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/02/09                | J                               |                                |                                                                   |
| 174.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | M                               | D                              |                                                                   |
| 175. - Vanguard Municipal Bond Fund<br>Intermediate                                                                         |                                         |                                               |                                                 |                                           | Buy                                             | 01/22/09                | M                               |                                |                                                                   |
| 176.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/02/09                | J                               |                                |                                                                   |
| 177.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/02/09                | J                               |                                |                                                                   |
| 178.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/01/09                | J                               |                                |                                                                   |
| 179.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/01/09                | J                               |                                |                                                                   |
| 180.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/01/09                | J                               |                                |                                                                   |
| 181.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/01/09                | J                               |                                |                                                                   |
| 182.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/03/09                | J                               |                                |                                                                   |
| 183.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/01/09                | J                               |                                |                                                                   |
| 184.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/01/09                | J                               |                                |                                                                   |
| 185.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/02/09                | J                               |                                |                                                                   |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/25/09                | M                               | D                              |                                                                   |
| 187. Trust #14                                                                                                              | D                                       | Int./Div.                                     | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

1. Income/Gain Codes  
(See Columns B1 and D4)

2. Value Codes  
(See Columns C1 and D3)

3. Value Method Codes  
(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$3,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

L = \$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 17 of 19

Name of Person Reporting

Anibro, Thomas L.

Date of Report

05/4/2010

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "X" after each asset<br>except from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. - Du Page Cook & Will Cntys IL Bond                                                                                  |                                         |                                               |                                                 |                                           | Buy                                             | 04/23/09                | K                               |                                |                                                                   |
| 189. - Rhode Island St Economic DV Corp RV Grant                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 03/23/09                | K                               |                                |                                                                   |
| 190. - Oklahoma Cnty Ok Indpt Sch Dist No 89                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 04/30/09                | K                               |                                |                                                                   |
| 191. - Milwaukee WI Corp Purp B1 G/O Unltd                                                                                |                                         |                                               |                                                 |                                           | Buy                                             | 06/19/09                | K                               |                                |                                                                   |
| 192. - University TX Univ Revs Rfdg Fing Sys                                                                              |                                         |                                               |                                                 |                                           | Buy                                             | 04/30/09                | K                               |                                |                                                                   |
| 193. - Gwinnett Cnty GA Sch Dist G/O                                                                                      |                                         |                                               |                                                 |                                           | Buy                                             | 03/24/09                | K                               |                                |                                                                   |
| 194. - Tennessee ST Ser A G/O                                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 04/23/09                | K                               |                                |                                                                   |
| 195. - Maryland St St & Loc FACS LN 2nd Ser G/O                                                                           |                                         |                                               |                                                 |                                           | Buy                                             | 03/25/09                | K                               |                                |                                                                   |
| 196.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 12/17/09                | J                               |                                |                                                                   |
| 197. - Cherokee Cnty GA Sch Sys G/O                                                                                       |                                         |                                               |                                                 |                                           | Buy                                             | 06/19/09                | K                               |                                |                                                                   |
| 198. - Illinois St Toll Hwy Auth Rev SR Priority                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 06/30/09                | K                               |                                |                                                                   |
| 199. - New York St Environmental Facs Corp St                                                                             |                                         |                                               |                                                 |                                           | Buy                                             | 04/28/09                | K                               |                                |                                                                   |
| 200. - Arizona Brd Regents Univ AZ Sys Rev Ser A                                                                          |                                         |                                               |                                                 |                                           | Buy                                             | 04/29/09                | K                               |                                |                                                                   |

1. Income Gain Codes  
(See Columns B) and D4)

2. Value Codes  
(See Columns C1 and D3)

3. Value Method Codes  
(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

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

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

**FINANCIAL DISCLOSURE REPORT**  
Page 18 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

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

Asset listed in Part VII, Line 149, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$50,925.

Asset listed in Part VII, Line 24, has changed its name from Artio International Equity Fund II to Artio Global INVT FDS Intl Equity FD II.

Asset listed in Part VII, Line 50, has changed its name from Artio International Equity Fund II to Artio Global INVT FDS Intl Equity FD II.

Asset listed in Part VII, Line 92, has changed its name from Artio International Equity Fund II to Artio Global INVT FDS Intl Equity FD II.

Asset listed in Part VII, Line 138, has changed its name from Artio International Equity Fund II to Artio Global INVT FDS Intl Equity FD II.

Asset listed in Part VII, Line 140 of prior year report, should have been listed as a part sale. The asset was completely sold in 2009.

## FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/4/2010

### 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 \_\_\_\_\_

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

#### FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544