

**United States Court of Appeals
for the Third Circuit**

Chambers of
THOMAS L. AMBRO
Circuit Judge

May 14, 2007

Federal Building, Lock Box 32
844 King Street
Wilmington, DE 19801

Via Federal Express

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

RECEIVED
2007 MAY 15 P 12:49
FINANCIAL
DISCLOSURE OFFICE

Re: **2006 Financial Disclosure Report**

Dear George:

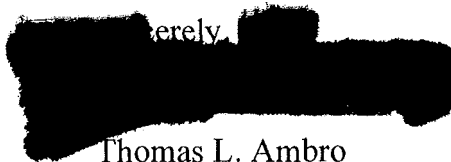
Enclosed are an original and three copies of my Financial Disclosure Report for calendar year 2006. In addition, I note two items.

(1) Under "VI. Liabilities," I have added information concerning partial limited guarantees that I have executed in past years with respect to three commercial loans. The first was a loan in 2001 for the construction of a commercial building. The second was for the second building on the same site in 2003, and the third was for the third building on the same site in 2005. I had not realized that guarantees needed to be listed as liabilities, but was informed by your office that I need to do so. Because this was not listed on prior Disclosure Reports, please consider this as amending those Reports for the years to which they apply.

(2) The asset reported in Part VII, page 5, line 8, from my 2005 Financial Disclosure Report should have been marked as follows: Column D(1) Sell, D(2) 11/17, D(3) J. The partnership was sold at a loss.

Please let me know if there are any questions you or the Committee may have.

Sincerely,


Thomas L. Ambro

Enclosures

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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

1. Person Reporting (last name, first, middle initial) Ambro, Thomas L	2. Court or Organization U.S. Court of Appeals, 3rd Cir	3. Date of Report 05/14/2007
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address Federal Courthouse 844 King Street, Lock Box 32 Wilmington, DE 19801	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. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Thomas L. Ambro Revocable Trust
2. Member	Georgetown University Alumni Admissions Program Board of Advisors
3. Chairman	Georgetown University Northern Delaware Alumni Admissions Program
4. Member	Board of Editors, Delaware Lawyer
5. Member	Board of Editors, Delaware Law Review
6. Co-Chair	Collins Seitz Bankruptcy Inn of the American Inns of Court
7. Member	Board of Trustees of the American Inns of Court

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

☒ NONE (No reportable agreements.)

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

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III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of instructions.)

A. Filer's Non-Investment Income

☒ NONE (No reportable non-investment income.)

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

5.

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)

☐ NONE (No reportable non-investment income.)

DATE

SOURCE AND TYPE

1. 2006

State of Delaware

2.

3.

4.

5.

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ NONE (No reportable reimbursements.)

SOURCE

DESCRIPTION

1. American Bar Association

April 5-8, Tampa, FL, Section of Business Law Spring Meeting (Transportation, Lodging & Meals)

2. American Bar Association

October 16-17, New York City, NY, Co-chairing seminar re legal opinions (Transportation, Lodging & Meals)

3.

4.

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 101)	P1
2.	Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 101)	P1
3.	Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 101)	P1
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Wilmington Trust Account	A	Interest	K	T					
2. Wilmington Trust Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor	A	Interest	J	T					
4. Delaware State Bond 6.1%	B	None	K	T					
5. Glasgow Professional Properties Inc		None	O	W					
6. Lynhaven Partners (1983 - \$23,500)	E	Rent	K	R					
7. PB/Fogelman Harbour Town Partnership (1988 - \$30,300)	A	Interest	K	R					
8. Salem Plaza Associates Partnership (1984 - \$23,581)	B	Rent			Sell	6/23	K	F	
9. Trust Account #6	D	Dividend	N	T					
10. - Evergreen Municipal Money Market FD (cash equivalent)									
11. - Centerpoint Energy Inc									
12. - Nisource Inc					Sell	7/25	K	B	
13. - Harris Assoc Oakmark I									
14. - Southwest Water Co									
15. - Advanced Micro Devices					Sell	5/10	K	D	
16. - Human Genome Science Inc					Sell	10/18	J	B	
17. - Adaptec Inc					Buy	7/25	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 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
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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.					Sell	11/15	J	A	
19. - PC-TEL Inc					Buy	7/25	J		
20.					Sell	11/15	J	A	
21. Trust Account #7	F	Dividend	P1	T					
22. - Goldman Sachs TR ILA Money Market					Part Sale	1/10	J		
23. - Calamos Growth FD					Sell	7/11	L	E	
24. - ING Funds Intr Value									
25. - Oakmark Global Fund CL I									
26. - Calamos Convér Tible FD CL A					Sell	7/11	K	C	
27. - Pioneer High Yield					Sell	1/10	J		
28. - Duke Energy Co									
29. - Aegis Value Fund Inc					Sell	7/11	L	B	
30. - Bridgeway Ultra-Small Co									
31. - T Rowe Price Cap Appr FD									
32. - Torrey Intl Strategy					Sell	1/10	L	B	
33. - Torrey US Strategy					Sell	1/10	L	C	
34. - Fairholme Fund									

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

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g. div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. - T Rowe Price Mid-Cap Growth Fund									
36. - Wasatch Heritage Growth Fund					Buy	1/13	L		
37.					Buy	1/23	J		
38. - CGM Focus Fund					Buy	1/13	L		
39. - Rowe Price Equity Income					Buy	10/19	L		
40. - 3Com Corp					Buy	1/10	J		
41. IRA Account #1	D	Dividend	M	T					
42. - Goldman Schs TR ILA Money Market					Buy	12/29	J		
43. - ING Funds Intr Value					Sell	7/19	K	D	
44. - Calamos Invt TR New									
45. - Oakmark Global Fund									
46. - Calamos Invt TR New Convertible FD CL A									
47. - Oakmark Fund Class I									
48. - Pioneer High Yield					Sell	10/18	J		
49. - Aegis Value Fund Inc					Sell	10/18	J	A	
50. - Bridgeway FD Inc									
51. - Franklin Cust Income 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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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52. - T Rowe Price Cap Appr FD									
53. - Dodge & Cox Intl Stock Fund					Buy	1/18	J		
54.					Part Sale	4/25	J	A	
55.					Buy	7/20	K		
56. - Fairholme Fund									
57. - Wasatch Heritage Growth Fund									
58. IRA Account #2	G	Dividend	P1	T					
59. - Goldman Sachs TR ILA Money Market									
60. - ING Funds Intr Value					Sell	7/19	M	E	
61. - Dominion Res Inc VA New									
62. - Teco Energy Inc									
63. - Oakmark Global Fund									
64. - Calamos Invt TR New Convertible FD CLA									
65. - Pioneer High Yield					Sell	10/18	K		
66. - Aegis Value Fund Inc									
67. - Bridgeway FD Inc Ultra-Small Co									
68. - Centerpoint Energy Inc									

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

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

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

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

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

H1 = \$1,000,001 - \$5,000,000

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

H2 = More than \$5,000,000

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

2. Value Codes

(See Columns C1 and D3)

J = \$15,000 or less

N = \$250,001 - \$500,000

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

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

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

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

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

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

3. Value Method Codes

(See Column C2)

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

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69. - Franklin Cust Income FD									
70. - T Rowe Price Cap Appr Fund									
71. - Campbell Fund Trust									
72. - 3Com Corp					Sell	11/15	J	B	
73. - Dodge & Cox Intl Stock Fund					Buy	1/10	J		
74.					Buy	7/20	M		
75. - Fairholme Fund									
76. - Rowe T Price Equity Income FD					Buy	10/19	K		
77. Note receivable from Louis P. Olivere, Jr., et al.	B	Interest							
78. Trust Account #12	F	Dividend	P1	T					
79. - GS ILA Money Mkt Instl									
80. - Cisco Systems Inc					Sell	4/17	K	C	
81. - Calamos Invt TR New					Buy	1/25	K		
82.					Part Sale	4/25	J	A	
83. - ING Funds Intr Value					Part Sale	4/25	J	A	
84. - Oakmark Global Fund									
85. - Calamos Convertible FD CLA					Part Sale	1/10	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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86.					Part Sale	10/23	J	A	
87. - Pioneer High Yield FD A					Sell	1/10	J		
88. - Aegis Value Fund Inc					Part Sale	1/25	L	C	
89.					Part Sale	1/31	J	A	
90.					Sell	4/17	L	C	
91. - Bridgeway Ultra-Small Co Mkt Fund									
92. - T Rowe Price Cap Appr Fund									
93. -Boston Scientific Corp					Sell	4/17	J		
94. - Fairholme Fund									
95. - Wasatch Heritage Growth Fund									
96. - T Rowe Price Mid-Cap Growth Fund					Part Sale	1/24	J	A	
97. - 3Com Corp					Buy	1/10	J		
98. - CGM Focus Fund					Buy	1/3	L		
99. - Dodge & Cox Intl Stock Fund					Buy	1/3	L		
100. - Oakmark Select Fund									
101. Springside, LLC (2000 - \$300,000)		None	P I	W					
102. Legg Mason Opportunity Trust		None	K	T	Part Sale	7/13	L	E	

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103. Matthews Asia Pacific Fund		None			Part Sale	7/18	K	E	
104.					Sell	10/18	L	E	
105. Middletown Professional Properties, LLC (2004 - \$80,925)	E	Rent	L	R					
106. Oakmark Select Fund		None			Sell	7/11	L	A	
107. Schneider Value Fund	C	Dividend	L	T	Buy	5/3	L		
108. Trust #13	A	Interest	J	T					
109. - Delaware St Health Facs Bond					Buy	7/14	M		
110.					Buy	7/21	M		
111.					Sell	8/4	N		

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

- 1) Note receivable reported in Part VII, Page 9, Line 77, principal was paid in full in 2006.
- 2) Asset reported in Part VII, Page 11, Line 114, from prior report, is now being reported in Trust #12.
- 3) Asset reported in Part VII, Page 11, Line 104, of prior report was gifted to Georgetown University during 2006 as a charitable donation.
- 4) The market value reported for Trust #13 represents a cash sweep account.

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Date of Report

05/14/2007

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



Date

May 14, 2007

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