

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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 05/8/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
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 filing 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. Member	Board of Trustees of the American Inns of Court
7. Member	Editorial Board of The Business Lawyer
8. Member	Editorial Board of Business Law Today
9. 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.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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. 2007	State of Delaware
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.	American Bar Association	Jan 11-15, 2007	Charleston, SC	SBL Midwinter Meeting	Transportation, Lodging & Meals
2.	Duke University School of Law	Feb 22-24, 2007	Durham, NC	Moot Court	Transportation, Lodging & Meals
3.	American Bar Association	Mar 15-18, 2007	Washington, DC	SBL Spring Meeting	Transportation, Lodging & Meals
4.	American Bar Association	Aug 10-13, 2007	San Francisco, CA	ABA Annual Meeting	Transportation, Lodging & Meals
5.	American Inns of Court	Sep 29-Oct 6, 2007	London, England	See Part VIII	Transportation, Lodging & Meals

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6.	University of Chicago Law School	Oct 31-Nov 1, 2007	Chicago, IL	Symposium Participant	Transportation, Lodging & Meals
7.	American Bar Association	Nov 16, 2007	Washington, DC	CLE program panelist	Transportation

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 92)	P1
2. Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 92)	P1
3. Commerce Bank, N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 92)	P1
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date 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	J	T					
2. Wilmington Trust Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor	A	Interest	J	T					
4. Delaware State Bond 6.1%		None	K	T					
5. Glasgow Professional Properties Inc		None	O	W					
6. Lynnhaven Partners (1983 - \$23,500)		None			Sell	12/31	J		
7. PB/Fogelman Harbour Town Partnership (1988 - \$30,300)		None			Sell	12/31	J		
8. Trust Account #6	E	Dividend	N	T					
9. - Evergreen Municipal Money Market FD (cash equivalent)									
10. - Centerpoint Energy Inc									
11. - Harris Assoc Oakmark I									
12. - Southwest Water Co									
13. - Nuveen Invt Qual Ped					Buy	03/08	K		
14.					Sell	03/22	K		
15. Trust Account #7	G	Int./Div.	O	T					
16. - Goldman Sachs TR ILA Money Market					Buy	3/12	J		
17.					Partial Sale	4/12	J		

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

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18. - ING Funds Intr Value					Partial Sale	3/9	L	E	
19. - Oakmark Global Fund CL I					Partial Sale	3/9	K	D	
20.					Partial Sale	5/14	K	D	
21. - Duke Energy Co					Donated				
22. - Bridgeway Ultra-Small Co									
23. - T Rowe Price Cap Appr FD									
24. - Fairholme Fund									
25. - T Rowe Price Mid-Cap Growth Fund					Sell	3/27	L	D	
26. - Wasatch Heritage Growth Fund					Sell	7/1	M	E	
27. - CGM Focus Fund									
28. - T Rowe Price Equity Income					Partial Sale	12/20	J		
29. - 3Com Corp					Sell	3/7	J		
30. - Primecap Odyssey Agg Grw					Buy	03/28	L		
31.					Partial Sale	08/27	K	B	
32. IRA Account #1	D	Dividend	N	T					
33. - Goldman Schs TR ILA Money Market					Partial Sale	1/23	J		
34.					Partial Sale	4/25	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. - Calamos Invt TR New					Sell	3/9	J	B	
36. - Oakmark Global Fund					Partial Sale	5/14	J	D	
37. - Calamos Invt TR New Convertible FD CL A					Sell	5/14	J	A	
38. - Oakmark Fund Class I									
39. - Bridgeway FD Inc									
40. - Franklin Cust Income FD									
41. - T Rowe Price Cap Appr FD									
42. - Dodge & Cox Intl Stock Fund					Partial Sale	5/14	K	D	
43. - Fairholme Fund									
44. - Wasatch Heritage Growth Fund					Sell	7/13	K	C	
45. - Nuveen Multistrategy Income and Growth FD					Buy	6/22	K		
46.					Buy	7/20	L		
47. IRA Account #2	G	Dividend	P1	T					
48. - Goldman Sachs TR ILA Money Market					Buy	1/23	J		
49. - Dominion Res Inc VA New									
50. - Teco Energy Inc									
51. - Oakmark Global Fund					Partial Sale	5/14	L	E	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Calamos Invt TR New Convertible FD CLA					Sell	5/14	L	C	
53. - Aegis Value Fund Inc					Sell	1/4	L		
54. - Bridgeway FD Inc Ultra-Small Co									
55. - Centerpoint Energy Inc									
56. - Franklin Cust Income FD									
57. - T Rowe Price Cap Appr Fund									
58. - Campbell Fund Trust					Redemption	6/19	N		
59. - Dodge & Cox Intl Stock Fund					Partial Sale	5/14	L	E	
60. - Fairholme Fund									
61. - Rowe T Price Equity Income FD									
62. - Nuveen Multistrategy Income and Growth FD					Buy	6/22	M		
63. - Nuveen Multistrategy Income and Growth I					Buy	6/22	M		
64. - Nuveen Qual Income PFD					Buy	6/20	L		
65. - Aston Funds Small Cap Value Fund					Buy	1/5	K		
66.					Partial Sale	5/14	K	B	
67. - Wasatch Heritage Growth FD					Buy	1/31	J		
68.					Sell	7/13	J	A	

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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69. Trust Account #12	F	Int./Div.	O	T					
70. - GS ILA Money Mkt Instl					Buy	3/19	J		
71.					Partial Sale	4/14	J		
72. - Calamos Invt TR New					Partial Sale	3/9	M	E	
73. - ING Funds Intr Value					Partial Sale	3/9	K	E	
74. - Oakmark Global Fund					Partial Sale	5/14	K	E	
75. - Calamos Convertible FD CLA					Sell	5/14	L	D	
76. - Bridgeway Ultra-Small Co Mkt Fund									
77. - T Rowe Price Cap Appr Fund					Partial Sale	10/16	J	A	
78. - Fairholme Fund									
79. - Wasatch Heritage Growth Fund					Buy	3/12	M		
80.					Sell	7/13	M	E	
81. - T Rowe Price Mid-Cap Growth Fund					Sell	3/27	L	C	
82. - 3Com Corp					Sell	1/11	J	A	
83. - CGM Focus Fund									
84. - Dodge & Cox Intl Stock Fund					Partial Sale	5/14	K	D	
85. - Oakmark Select Fund					Sell	3/9	L		

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3. Value Method Codes (See Column C2)					

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86. - AXA Enterprise Int CL A					Buy	3/12	M		
87.					Sell	5/2	M	D	
88. - Nuveen Trdwinds Intl Val A					Buy	5/3	M		
89.					Sell	5/14	M		
90. - Prime Odyssey AGG Grw					Buy	3/28	L		
91.					Partial Sale	8/27	K	B	
92. Springside, LLC (2000 - \$300,000)		None	PI	W					
93. Legg Mason Opportunity Trust	B	Dividend	K	T					
94. Middletown Professional Properties, LLC (2004 - \$80,925)	E	Rent	L	R					
95. Schneider Value Fund	C	Dividend	L	T					
96. Trust #13	E	Int./Div.	O	T					
97. - Delaware St Health Facs Bond					Buy	1/19	M		
98.					Sell	9/7	M		
99.					Buy	1/19	K		
100.					Sell	9/28	K		
101.					Buy	1/19	M		
102.					Buy	7/20	K		

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103.					Buy	7/27	K		
104.					Buy	8/3	N		
105. - Nuveen Trdwinds Gbl					Buy	3/12	M		
106. Note Receivable from [REDACTED]	D	Interest	J	T					

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3. Value Method Codes (See Column C2)					

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

From Part IV, Lines 1 and 3, SBL is abbreviated due to spacing limitation. It represents Section of Business Law.

From Part IV, Line 5, Purpose, Representative to British Inns of Court RE Temple Bar Scholars Program

Part VII, Line 21, asset was donated 5/15/07 along with Spectra Energy Corp. directly to a charity. Spectra Energy Corp. shares were obtained from a spinoff of Duke Energy Corp. on 1/2/07.

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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