

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 11/29/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address Federal Courthouse 844 N. King Street, Lock Box 32 Wilmington, DE 19801		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ **NONE** (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Thomas L. Ambro Revocable Trust
2. Member (Emeritus)	Georgetown University Alumni Admissions Program Board of Advisors
3. Member	Georgetown University Northern Delaware Alumni Admissions Program
4. Member	Board of Editors, Delaware Lawyer
5. Member	Executive Committee, National Bankruptcy Conference
6. Member (Emeritus)	TriBar Legal Opinion Committee
7. Member, Advisory Board	Working Group on Legal Opinions Foundation

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

☒ **NONE** (No reportable agreements.)

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

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	Georgetown University - teaching	\$7,862.00
2.		
3.		
4.		

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

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

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Amerian Bar Association	April 6-10, 2016	Montreal, CA	Section of Business Law Spring Meeting	Transportation, Lodging
2. Georgetown University	June 28-29, 2016	Washington, DC	Teaching Class Preview	Transportation
3. Georgetown University	August 30-31, 2016	Washington, DC	Teaching Class	Transportation
4. Georgetown University	September 12, 2016	Washington, DC	Teaching Class	Transportation
5. Georgetown University	September 18-19, 2016	Washington, DC	Teaching Class	Transportation
6. Georgetown University	September 26, 2016	Washington, DC	Teaching Class	Transportation

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7.	Georgetown University	October 2-3, 2016	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	October 16-17, 2016	Washington, DC	Teaching Class	Transportation
9.	American Inns of Court	October 23-24, 2016	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	October 30-31, 2016	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	November 6-7, 2016	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 13-14, 2016	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	November 20-21, 2016	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	December 4-5, 2016	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	December 11-12, 2016	Washington, DC	Teaching Class	Transportation

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

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 96)	P1
2.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 96)	P1
3.	TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 96)	P1
4.	PNC Bank, N.A.	Non-Recourse Guaranty and Suretyship Agreement (Part VII, Line 98)	P1
5.			

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

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

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

1. M&T Bank Account		None	K	T					
2. M&T Bank Account		None	K	T					
3. Trust Account #6 (H)									
4. - Harris Assoc Oakmark I	D	Dividend	M	T	Sold (part)	01/21/16	L	A	
5.					Sold (part)	03/24/16	J	B	
6.					Sold (part)	07/26/16	J	B	
7. - Wells Fargo Bank, N.A. Bank Deposit Sweep		None	J	T					
8. IRA Account #2 (H)									
9. - Fairholme Fund	C	Dividend	L	T	Buy (add'l)	06/15/16	J		
10.					Sold (part)	08/10/16	J		
11. - WHV International Equity FD CL		None			Sold	01/21/16	K		
12. - Dodge & Cox Intl Stock FD	B	Dividend	K	T	Sold (part)	06/15/16	J		
13.					Sold (part)	08/10/16	J		
14. - Federated Strategic Value Dividend FD	C	Dividend	L	T	Sold (part)	06/15/16	L	A	
15.					Buy (add'l)	06/15/16	K		
16.					Sold (part)	07/08/16	J	A	
17.					Sold (part)	08/10/16	J	A	

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

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18. - Natixis FDS TR I Oakmark Intl FD	A	Dividend	K	T	Sold (part)	06/15/16	J		
19.					Sold (part)	08/10/16	J		
20. - Brandes Invst TR Instl Emerging Mkts FD	A	Dividend	K	T	Sold (part)	06/15/16	J		
21.					Sold (part)	08/10/16	J		
22. - Matthews Asia Dividend FD	A	Dividend	K	T	Sold (part)	06/15/16	J		
23.					Sold (part)	08/10/16	J	A	
24. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	L	T	Buy (add'l)	06/15/16	J		
25.					Sold (part)	08/10/16	J	A	
26. - Pimco Equity SER	C	Dividend	L	T	Buy (add'l)	06/16/16	K		
27.					Sold (part)	08/10/16	J	A	
28. - Neuberger Berman Alternative FDS		None	L	T	Buy (add'l)	06/15/16	K		
29.					Sold (part)	08/10/16	J		
30. - Primecap Odyssey Growth	B	Dividend	L	T	Sold (part)	06/15/16	L	B	
31.					Sold (part)	08/10/16	J	A	
32. - Virtus Emerging Markets Opportunities Fund	A	Dividend	K	T	Sold (part)	06/15/16	J		
33.					Sold (part)	08/10/16	J		
34. - JP Morgan TR I Strategic Income Opportunity	C	Dividend	L	T	Sold (part)	06/15/16	K		

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35.					Sold (part)	08/10/16	J		
36. - Nuveen Invt FDS Inc Real Asset Income FD		None			Sold	02/05/16	K		
37. - Dodge & Cox Stock FD	D	Dividend	L	T	Sold (part)	06/15/16	K		
38.					Sold (part)	08/10/16	J		
39. - Dodge & Cox Income FD	B	Dividend	L	T	Sold (part)	06/15/16	K		
40.					Sold (part)	08/10/16	J	A	
41. - Doubleline FDS TR Total Return BD FD	B	Dividend	L	T	Buy (add'l)	06/15/16	J		
42.					Sold (part)	08/10/16	J		
43. - Harris Assoc Invt TR Oakmark Global Select FD	A	Dividend	L	T	Sold (part)	01/11/16	J		
44.					Sold (part)	04/08/16	J		
45.					Sold (part)	06/15/16	K		
46.					Sold (part)	08/10/16	J		
47. - Federated Equity FDS Intl Strategic Value Div FD	A	Dividend	K	T	Buy	06/15/16	K		
48. - Saratoga Advantage TR James Alpha Gbl Real Estate Invst	C	Dividend	L	T	Buy	06/15/16	K		
49.					Buy (add'l)	08/10/16	K		
50. - Lord Abbett Investment TR Short Duration Income	C	Dividend	M	T	Buy	06/15/16	M		
51.					Buy (add'l)	08/10/16	L		

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52.					Sold (part)	10/14/16	J		
53.					Sold (part)	11/29/16	K		
54. - T Rowe Price New Era Fund	A	Dividend	K	T	Buy	01/22/16	K		
55.					Sold (part)	06/15/16	K	C	
56.					Sold (part)	08/10/16	J	A	
57.					Buy (add'l)	11/29/16	J		
58. - Steelpath MLP FDS TR Oppenheimer	B	Dividend	K	T	Buy	06/15/16	K		
59.					Sold (part)	08/10/16	J	A	
60. - Artisan Partners FDS Inc Global Value FD Adv	B	Dividend	L	T	Buy	02/08/16	K		
61.					Buy (add'l)	06/15/16	J		
62.					Sold (part)	08/10/16	J	A	
63. Trust Account #12 (H)									
64. - Fairholme Fund	C	Dividend	L	T	Buy (add'l)	02/25/16	J		
65.					Buy (add'l)	02/29/16	J		
66.					Sold (part)	08/10/16	J		
67. - Dodge & Cox Intl Stock FD	A	Dividend	K	T	Sold (part)	08/10/16	J	B	
68. - Matthews Asia Dividend FD	A	Dividend	J	T	Sold (part)	08/10/16	J	A	

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69. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	K	T	Buy (add'l)	02/25/16	J		
70.					Buy (add'l)	05/03/16	J		
71.					Buy (add'l)	06/03/16	J		
72.					Buy (add'l)	07/05/16	J		
73.					Buy (add'l)	08/04/16	J		
74.					Buy (add'l)	08/10/16	J		
75.					Buy (add'l)	09/06/16	J		
76.					Buy (add'l)	10/04/16	J		
77.					Buy (add'l)	11/07/16	J		
78.					Buy (add'l)	12/05/16	J		
79. - Dodge & Cox Stock Fund	C	Dividend	K	T	Sold (part)	08/10/16	J		
80. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
81. - Saratoga Advantage TR James Alpha Gbl Real Estate	B	Dividend	J	T	Buy	08/10/16	J		
82. - Pimco Multi-MGR Short Duration Muni Inc Fund Inst CL	B	Dividend	K	T	Buy	02/17/16	M		
83.					Sold (part)	03/17/16	J		
84.					Sold (part)	05/05/16	K		
85.					Sold (part)	05/25/16	J		

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86.					Sold (part)	06/21/16	J		
87.					Sold (part)	07/06/16	J		
88.					Buy (add'l)	08/10/16	J		
89.					Sold (part)	08/15/16	K		
90.					Sold (part)	12/13/16	K		
91.					Sold (part)	12/20/16	J		
92. - Midcoast Energy Partners LP	A	Distribution			Buy	05/05/16	J		
93.					Distributed	08/12/16	J		
94. - USA Compression Partners LP	A	Distribution			Buy	05/05/16	J		
95.					Distributed	08/12/16	J		
96. Springside, LLC (2000 - \$300,000, 2012-\$20,123)	E	Rent	P1	W					
97.	A	Interest							
98. Middletown Professional Properties, LLC, (2004 - \$80,925)	E	Rent	O	W					
99. Trust #15 (H)									
100. - Johnson & Johnson	A	Dividend	K	T					
101. - Microsoft Corp	B	Dividend	K	T					
102. - Range Resources Corp	A	Dividend	K	T					

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103. - Rex Energy Corp		None	J	T					
104. - Fairholme FDS Inc	A	Dividend	J	T					
105. - Brown Cap Mgmt Mutual FDS Small Co Fund	A	Dividend	J	T					
106. - Vanguard Specialized Portfolios Energy Port Investor	B	Dividend	L	T	Buy (add'l)	11/30/16	J		
107. - Medley Capital Corp	C	Dividend	K	T					
108. - Pennantpark Investment Corp		None			Sold	01/13/16	K		
109. - Prospect Capital Corp		None			Sold	01/13/16	K		
110. - BP Plc Spons ADR	B	Dividend			Sold	11/11/16	K		
111. - National Oil Well Varco Inc	A	Dividend	J	T					
112. - Enterprise Products Partners	A	Distribution	J	T					
113. - Plains GP Holdings LP	A	Distribution	J	T					
114. - Weatherford International PLC		None	J	T					
115. - BHP Billiton LTF Spon ADR	A	Dividend	J	T					
116. - Cabot Oil & Gas	A	Dividend	K	T	Buy (add'l)	01/11/16	J		
117.					Sold (part)	01/12/16	J		
118.					Buy (add'l)	02/25/16	J		
119. - Chesapeake Energy Corp		None			Sold	01/13/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. - Rio Tinto PLC Spon ADR	A	Dividend	J	T					
121. - South32 LTD Spon	A	Dividend	J	T					
122. - Natixis FDS TR II Vaughan Nelson Select FD CL Y	A	Dividend	K	T	Buy (add'l)	01/04/16	J		
123.					Buy (add'l)	02/03/16	J		
124.					Buy (add'l)	03/03/16	J		
125.					Buy (add'l)	04/04/16	J		
126.					Buy (add'l)	05/03/16	J		
127.					Buy (add'l)	06/03/16	J		
128.					Buy (add'l)	07/05/16	J		
129.					Buy (add'l)	08/03/16	J		
130.					Buy (add'l)	09/06/16	J		
131.					Buy (add'l)	10/03/16	J		
132.					Buy (add'l)	11/03/16	J		
133.					Buy (add'l)	12/05/16	J		
134. - Natixis Funds Trust II Vaughan Nelson Value Class Y	A	Dividend	J	T					
135. - Midcoast Energy Partners LP	A	Distribution	J	T					
136. - Spectra Energy Corp	A	Dividend	K	T	Buy	01/11/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. - USA Compression Partners LP	A	Distribution	K	T					
138. - Vanguard Funds Dividend Growth Fund Invst CL	A	Dividend	J	T	Buy	03/18/16	J		
139. - Wells Fargo Bank, N.A. Bank Deposit Sweep (X)		None	J	T					
140. IRA #3 (H)									
141. - Devon Energy Corp	A	Dividend	J	T					
142. - Exxon Mobil Corp	B	Dividend	L	T					
143. - Brown Cap Mgmt Mut FDS Small Co Fund Inv	C	Dividend	L	T					
144. - Fairholme FDS Inc	B	Dividend	K	T	Buy (add'l)	01/04/16	K		
145. - Harris Assoc Invst TR Oakmark Global Select FD	B	Dividend	M	T					
146. - Professionally Manged Portfolio CL Instl Hodges Small Cap	A	Dividend	J	T					
147. - Matthews Intl FD Asian Growth & Income FD	C	Dividend	L	T	Sold (part)	01/04/16	K		
148. - Rex Energy Corp		None	J	T					
149. - Marine Harvest ASA Sponsored ADR	B	Dividend	K	T					
150. - Knot Offshore Partners LP	D	Dividend	M	T					
151. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T					
152. - Sunoco LP	A	Dividend	L	T	Buy	11/02/16	J		
153.					Buy (add'l)	11/03/16	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	11/07/16	J		
155.					Buy (add'l)	11/29/16	J		
156. - Miller Invst Trust Convertible BD FD	D	Dividend	P1	T	Buy	12/21/16	P1		
157. - Fairholme FDS IN Focused Income FD	B	Dividend	K	T	Buy	01/04/16	K		
158. Trust #16 (H)									
159. - Apollo Investment Corp	B	Dividend	J	T					
160. - Blackrock Kelso Capital Corp	B	Dividend	K	T					
161. - Prospect Capital Corp		None			Sold	01/13/16	K		
162. - Fifth Street Finance Corp	C	Dividend			Sold	03/28/16	K		
163. - Medley Capital Corp	D	Dividend	K	T					
164. - Pennantpark Investment Corp		None			Sold	01/13/16	K		
165. - TICC Capital Corp	C	Dividend	K	T					
166. - Wells Fargo Bank, N.A. Bank Deposit Sweep		None	J	T					
167. - Golub Cap BDC Inc	C	Dividend	L	T	Buy	02/09/16	K		
168. - TPG Specialty Lending Inc	B	Dividend	K	T	Buy	03/28/16	K		
169.					Buy (add'l)	06/26/16	J		
170. IRA #5 (H)									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. - Newpark Resources Inc Conv SR	A	Interest			Sold	08/31/16	K		
172. - M/I Homes Inc Conv SR	A	Interest			Sold	12/01/16	K		
173. - Helix Energy Solutions Conv SR	A	Interest			Sold	07/20/16	K		
174. - Redwood TR Inc Conv SR	B	Interest			Sold	12/01/16	K	A	
175. - Broadsoft Inc Conv SR	A	Interest			Sold	12/06/16	K	C	
176. - Blackstone Mortgage TR Conv SR	B	Interest			Sold	12/02/16	K	B	
177. - Finisar Corp Conv SR	A	Interest			Buy (add'l)	08/04/16	J		
178.					Sold	12/05/16	L	D	
179. - KB Home Conv SR	A	Interest			Sold	12/05/16	K		
180. - Apollo Commrl Real Esate FI Conv SR	B	Interest			Sold	12/12/16	K	B	
181. - Ryland Group Conv Senior notes	A	Interest			Sold	12/07/16	K		
182. - New Mountain Finance Cor Conv SR	B	Interest			Sold	12/13/16	K	A	
183. - Hornbeck Offshore Serv Conv SR	A	Interest			Sold	08/08/16	K		
184. - ANI Pharmaceuticals Inc Con SR	B	Interest			Sold	12/06/16	K	D	
185. - TPG Specialty Lending In Con SR	B	Interest			Sold	12/14/16	K	A	
186. - Evestnet Inc Conv	A	Interest			Sold	12/14/16	K		
187. - TCP Capital Corp Conv SR	B	Interest			Sold	12/15/16	K	A	

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. - Resource Capital Corp Conv SR	C	Interest			Sold	11/15/16	K		
189. - Echo Global Logistics Conv SR	A	Interest			Sold	01/21/16	K		
190. - Pennymac Corp Conv SR	B	Interest			Sold	12/12/16	K	A	
191. - Sandisk Corp Conv SR	A	Interest			Sold	05/11/16	K	C	
192. - Seacor Holdings Inc Conv SR	A	Interest			Sold	08/04/16	K		
193. - Colony Capital Inc Con SR	B	Interest			Sold	12/01/16	K		
194. - Goldman Sachs Group		None			Sold	11/29/16	K	A	
195. - Encore Capital Grp Inc Conv	B	Interest			Buy (add'l)	08/09/16	K		
196.					Sold	12/13/16	L	B	
197. - National Health Investor Conv SR	B	Interest			Sold	12/13/16	K	C	
198. - Sunpower Corp Conv SR	A	Interest			Sold	08/18/16	K		
199. - J2 Global Communications Conv SR		None			Sold	04/22/16	K		
200. - Atlas Air Worldwind Hldg Conv SR	A	Interest			Sold	12/12/16	K	B	
201. - UBS AG London Conv SR Callable Bond		None			Sold	12/05/16	K	C	
202. - Barclays Bank PLC Convertible Notes LKD To CMN STK Intl		None			Sold	06/27/16	K		
203. - Barclays Bank PLC Conv Medium Term Notes Conv Lnkd to Bacr		None			Sold	11/29/16	K	C	
204. - Interdigital Inc Senior Not Conv CPN	A	Interest			Buy	05/05/16	J		

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.					Sold	12/09/16	K	C	
206. - On Semiconductor Corp SR Conv NT	A	Interest			Buy	06/21/16	K		
207.					Buy (add'l)	08/10/16	J		
208.					Sold	12/07/16	K	C	
209. - Calamp Corp Conv SR Not CPN	A	Interest			Buy	06/02/16	K		
210.					Sold	12/13/16	K	B	
211. - Impax Laboratories Conv LKT TO IPXL SR Unsecured CPN		None			Buy	07/22/16	K		
212.					Sold	12/07/16	K		
213. - Forestar Grp Inc Convertible Sr Unsecured CPN	A	Interest			Buy	08/26/16	K		
214.					Sold	12/02/16	K	A	
215. - Portfolio Recovery Assoc Conv SR Unsecured CPN		None			Buy	08/26/16	K		
216.					Sold	12/14/16	K	B	
217. - Infinera Corp Conv Unsecured CPN		None			Buy	09/27/16	K		
218.					Sold	11/02/16	K		
219. - Aceto Corp		None			Buy	11/28/16	K		
220.					Sold	12/15/16	K	A	
221. PMC LLC	A	Rent	M	W					

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
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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				
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222. The Sequoia Fund	D	Dividend	L	T	Buy (add'l)	01/04/16	J		
223.					Buy (add'l)	02/01/16	J		
224.					Buy (add'l)	02/02/16	J		
225.					Buy (add'l)	03/01/16	J		
226.					Buy (add'l)	04/01/16	J		
227.					Buy (add'l)	05/02/16	J		
228.					Buy (add'l)	06/01/16	J		
229.					Buy (add'l)	06/27/16	J		
230.					Buy (add'l)	07/01/16	J		
231.					Buy (add'l)	08/01/16	J		
232.					Buy (add'l)	09/01/16	J		
233.					Buy (add'l)	10/03/16	J		
234.					Buy (add'l)	11/01/16	J		
235.					Buy (add'l)	12/01/16	J		
236. Trust #18 (H)									
237. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
238. - Gwinnett Cnty GA WRT & SWR Auth Rev CPN	C	Interest			Sold (part)	09/30/16	J		

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

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

239.					Buy (add'l)	10/03/16	L		
240.					Sold	10/05/16	L		
241. - Mc Kinney TX RFDG C/O LTD	C	Interest	L	T					
242. - West Wilson Util Dist TN WTR WKS Rev	B	Interest	L	T					
243. - Montana ST BRD Regents High Ed Rev	B	Interest	K	T					
244. - West VA ST 1991 and Subsequent Maturities RFDG	B	Interest			Sold	12/07/16	K		
245. - Ocean Cnty NJ RFDG SER A G/O Unl TD	B	Interest	L	T					
246. - Port Seattle WA REV RFDG Inter Ser a	B	Interest	K	T					
247. - Metropolitan Transn Auth NY Rev	C	Interest	L	T					
248. - New York NY City Transnl Fln Auth Bldg Aid Rev	B	Interest	K	T					
249. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlnvg FD Ser C	C	Interest	L	T					
250. - New York ST Envmntl Facs Corp Rev ST Ser D	C	Interest	L	T					
251. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	C	Interest	L	T					
252. - New York ST Dorm Uth Revs Non ST Supported Debt CPN	B	Interest	L	T					
253. - Idaho Hlth Facs Suth Rev Trinity Health CR Grp	B	Interest	K	T					
254. - Lone Star Cllg Sys TX	A	Interest			Buy	07/12/16	K		
255.					Sold	12/16/16	K		

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

Ambro, Thomas L.

Date of Report

11/29/2017

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

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

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

256. - USF Fing Corp FL CTF Partn Rfdg Mstr Lse PG Ser		None	L	T	Buy	12/07/16	L		
257. - Hawaii St Unrefunded Balance Rfdg Ser Ed		None	J	T	Buy	12/07/16	J		
258. - Athens Clarke Cnty GA Uni Govt Dev Auth Rev Rfdg Univ GA		None	L	T	Buy	09/30/16	L		
259. - Harris Cnty TX Cultural Ed Facs Fin Corp Med FA CS Rev		None	K	T	Buy	12/21/16	K		
260. Trust #19 (H)									
261. - Bank Deposit Sweep		None	J	T					
262. -First TR Global Tactical Commodity Strategy FD		None			Buy (add'l)	01/12/16	J		
263.					Sold	09/16/16	J		
264. - iShares Russell 1000 Value FD	A	Dividend	J	T	Sold (part)	09/16/16	J	A	
265. - iShares Core S&P 500 Index FD	B	Dividend	K	T	Sold (part)	09/16/16	J	A	
266. - SPDR S&P Intl Small Cap	A	Dividend	J	T	Sold (part)	09/16/16	J		
267. - Vanguard FTSE Developed Markets ETF	B	Dividend	K	T	Buy (add'l)	01/15/16	J		
268.					Buy (add'l)	09/16/16	J		
269. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
270.					Buy (add'l)	09/16/16	J		
271. - Vanguard Mid Cap	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
272.					Buy (add'l)	09/16/16	J		

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Name of Person Reporting

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

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

273. - Vanguard REIT	A	Dividend	J	T	Sold (part)	09/16/16	J	A	
274. - Vanguard Small Cap Value VBR	A	Dividend	J	T	Buy (add'l)	09/16/16	J		
275. - Vanguard Small Cap VB	A	Dividend	J	T	Buy (add'l)	01/12/16	J		
276.					Sold (part)	09/16/16	J		
277. - Vanguard Total Bond Market BND	A	Dividend	J	T					
278. - Vanguard Total Stock Market ETF	A	Dividend	J	T	Buy	09/16/16	J		
279. - Vanguard Mid Cap Value Index Fund	A	Dividend	J	T	Buy	09/16/16	J		
280. IRA #6 (H)									
281. - Invesco Global Real Estate	A	Dividend	K	T	Sold (part)	08/25/16	J	A	
282. - Deutsche Secs TR Enhanced Commodity Strat FD Instl Class	A	Dividend	J	T	Buy (add'l)	01/04/16	J		
283.					Sold (part)	08/25/16	J	A	
284. - Columbia Select Large Cap Growth Fund CL Z	C	Dividend	K	T	Sold (part)	08/25/16	J		
285. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T	Sold (part)	08/25/16	J		
286. - Goldman Sachs TR Finl Square Treas Instrs FD Inst CL	A	Dividend	J	T	Sold (part)	01/11/16	J		
287.					Sold (part)	04/08/16	J		
288.					Sold (part)	07/08/16	J		
289.					Buy (add'l)	08/25/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	10/14/16	J		
291. - John Hancock FDS II Global Absolute Return Strategies FD CL I		None	J	T	Sold (part)	08/25/16	J		
292. - Hotchkis & Wiley FDS Mid Cap Value FD CL I	A	Dividend	J	T	Buy (add'l)	01/04/16	J		
293.					Sold (part)	08/25/16	J		
294. - John Hancock Funds II Absolute Return Currency FD CL I		None	J	T	Sold (part)	08/25/16	J	A	
295. - Aberdeen Total Return Bnd Fund CL I	B	Dividend	K	T	Sold (part)	08/28/16	J	A	
296. - MFS Ser TR I Value FD	B	Dividend	K	T	Buy (add'l)	08/25/16	J		
297.					Sold (part)	08/25/16	J		
298. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	K	T					
299. - JP Morgan TR I US Large Cap Core Plus FD SEL CL	B	Dividend	K	T	Buy (add'l)	08/25/16	J		
300. - Neuberger Berman Alternative FDs Long Short FD Instl CL		None	J	T	Sold (part)	08/25/16	J	A	
301. - American Europacific Growth FU CL F2	A	Dividend	K	T	Buy (add'l)	01/04/16	J		
302.					Buy (add'l)	08/25/16	J		
303. - Investment Managers SER TR Oak Ridge Small CP Growth FD CL I	B	Dividend	K	T	Buy (add'l)	01/04/16	J		
304.					Buy (add'l)	08/25/16	J		
305. - Oppenheimer Dev Mkts CL Y	A	Dividend	J	T	Buy (add'l)	01/04/16	J		
306.					Sold (part)	08/25/16	J		

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

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307. - Oppenhiemer Intl BD FD CL Y	A	Dividend	J	T	Sold (part)	08/25/16	J	A	
308. - Principal FDS Inc High Yield FD Instl CL	B	Dividend	K	T	Buy (add'l)	01/04/16	J		
309.					Buy (add'l)	08/25/16	J		
310.					Sold (part)	08/25/16	J		
311. - Victory Sycamore Small Co Oppty FD CL I	A	Dividend	K	T	Buy (add'l)	08/25/16	J		
312. - AQR FDS Managed Futures Strategy FL CL I	A	Dividend	J	T	Buy	08/25/16	J		
313. - Principal FDS Inc Global Multi Strategy FD Instl CL		None	J	T	Buy	08/25/16	J		
314. - Wells Fargo Funds TR Special Mid Cap Value FD CL I	A	Dividend	J	T	Buy	08/25/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A –\$1,000 or less F –\$50,001 - \$100,000	B –\$1,001 - \$2,500 G –\$100,001 - \$1,000,000	C –\$2,501 - \$5,000 H1 –\$1,000,001 - \$5,000,000	D –\$5,001 - \$15,000 H2 –More than \$5,000,000	E –\$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Asset listed in Part VII, Line 98, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Asset listed in Part VII, Line 96, has rental income from property located in Newark, DE.

Asset listed in Part VII, Line 221, has rental income from property located in New Castle County, DE.

Assets listed in Part VII, lines 92-95 were purchased and subsequently transferred into Trust #15.

Assets listed in Part VII, lines 135 and 137 were transferred from Trust #12.

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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: s/ **Thomas L. Ambro**

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

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