

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 05/12/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Federal Courthouse 844 N. King Street, Lock Box 32 Wilmington, DE 19801		
IMPORTANT NOTES: <i>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>		

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	Georgetown University Law Center Board of Visitors
5. Member	Board of Editors, Delaware Lawyer
6. 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Georgetown University - teaching	\$6,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	American College of Bankruptcy	March 15-16, 2019	San Diego, CA	Annual Meeting	Transportation, Lodging
2.	Georgetown University	August 27-28, 2019	Washington, DC	Teaching Class	Transportation
3.	Georgetown University	September 8-9, 2019	Washington, DC	Teaching Class	Transportation
4.	Georgetown University	September 15-16, 2019	Washington, DC	Teaching Class	Transportation
5.	Georgetown University	September 26-30, 2019	Washington, DC	Teaching Class	Transportation
6.	Georgetown University	October 6-7, 2019	Washington, DC	Teaching Class	Transportation

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7.	Georgetown University	October 20-21, 2019	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	October 27-28, 2019	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	November 3-4, 2019	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	November 10-11, 2019	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	November 15-18, 2019	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 24-25, 2019	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	December 1-2 2019	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	December 5-6, 2019	Washington, DC	Teaching Class	Transportation
15.	Georgetown University	December 8-9, 2019	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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 138)	P1
2. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 138)	P1
3. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 138)	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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. M&T Bank Account		None	K	T					
2. M&T Bank Account		None	J	T					
3. Trust Account #6 (H)									
4. - Harris Assoc Oakmark I		None			Sold	04/22/19	M	D	
5. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
6. IRA Account #2 (H)									
7. - Wells Fargo Bank, N.A. Bank Deposit Sweep (X)	A	Interest	K	T					
8. - Fairholme Fund	A	Dividend	M	T					
9. - Dodge & Cox Intl Stock FD	B	Dividend	L	T					
10. - Federated Strategic Value Dividend FD	D	Dividend	L	T					
11. - Natixis FDS TR I Oakmark Intl FD	B	Dividend	L	T					
12. - Brandes Invt TR Instl Emerging Mkts FD	A	Dividend	L	T	Buy (add'l)	02/25/19	J		
13. - Matthews Asia Dividend FD	A	Dividend	K	T					
14. - Primecap Odyssey FDS Aggressive Growth FD	B	Dividend	K	T	Sold (part)	08/23/19	K	D	
15. - Pimco Equity SER		None			Sold	02/15/19	L		
16. - Neuberger Berman Alternative FDS		None			Sold	02/25/19	L	A	
17. - Primecap Odyssey Growth	B	Dividend	K	T	Sold (part)	08/23/19	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$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. - Virtus Emerging Markets Opportunities Fund	A	Dividend	K	T					
19. - JP Morgan TR I Strategic Income Opportunity	A	Dividend			Sold	02/15/19	M		
20. - Dodge & Cox Stock FD	D	Dividend	L	T					
21. - Dodge & Cox Income FD	D	Dividend	N	T	Buy (add'l)	02/20/19	K		
22.					Buy (add'l)	08/23/19	M		
23. - Doubleline FDS TR Total Return BD FD	C	Dividend	M	T	Buy (add'l)	02/20/19	K		
24. - Harris Assoc Invt TR Oakmark Global Select FD	B	Dividend	M	T	Sold (part)	08/23/19	L		
25. - Federated Equity FDS Intl Strategic Value Div FD	B	Dividend	K	T					
26. - Saratoga Advantage TR James Alpha Gbl Real Estate Invst	D	Dividend	L	T					
27. - T Rowe Price New Era Fund	A	Dividend	K	T					
28. - Invesco Oppenheimer Steelpath MLP Select 40 Fund	B	Dividend	K	T					
29. - Artisan Partners FDS Inc Global Value FD Adv	B	Dividend	L	T					
30. - Guggenheim FDS TR Macro Opportunities FD Intl CL	D	Dividend	N	T	Buy (add'l)	02/20/19	K		
31.					Buy (add'l)	02/22/19	M		
32. - Kinetics MUT FDS INC Paradigm Fund Intl CL	A	Dividend	J	T					
33. - Kinetics MUT FDS Inc Small Cap Opportunities FD Intl CL		None	J	T					
34. - Pimco Low Duration Income Fund	E	Dividend	N	T	Buy (add'l)	02/06/19	L		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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35.					Buy (add'l)	02/20/19	M		
36. - Pimco FDS Income FD Instl CL	B	Dividend			Sold	02/15/19	L		
37. - Trust for Advised port Miller Opportunity TR		None	K	T					
38. - Artisan Intl Small Cap Fund Investor Series	A	Dividend	K	T					
39. - Brown Cap Mgmt Small Co FD Instl CL	B	Dividend	K	T	Buy (add'l)	02/25/19	K		
40.					Sold (part)	08/23/19	K	C	
41. - Devon Energy Corp	A	Dividend	J	T					
42. - Exxon Mobil Corp	C	Dividend	L	T					
43. - Fairholme FDS In Focused Income Fund		None			Sold	02/15/19	K		
44. - Oakmark International Small Cap FD Advisor CL	A	Dividend	K	T					
45. - Knot Offshore Partners LP	D	Dividend	M	T					
46. - Mowi Asa Spon ADR	B	Dividend	K	T					
47. - Matthews Intl FD Asian Growth & Income FD	C	Dividend	L	T					
48. - Miller Invt Trust Convertible BD FD	C	Dividend	M	T	Sold (part)	01/25/19	K		
49.					Sold (part)	02/06/19	L		
50.					Sold (part)	02/15/19	M		
51.					Sold (part)	02/22/19	M		

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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52. - Professionally Managed Portfolio CL Instl Hodges Small Cap	B	Dividend	K	T	Buy (add'l)	02/25/19	K		
53.					Sold (part)	08/23/19	K		
54. - Sunoco LP	D	Distribution	L	T					
55. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T					
56. - American Midstream Partners LP		None			Sold	07/23/19	J		
57. - Buckeye Partners LP	B	Distribution			Sold	11/01/19	K	C	
58. - Crossamerica Partners LP	B	Distribution	K	T					
59. - Enbridge Inc	C	Dividend	L	T					
60. - Golar LNG LTD	A	Dividend	J	T					
61. - Hoegh LNG Partners LP	C	Dividend	K	T					
62. - Alger Funds Small Cap Focus FD	A	Dividend	J	T	Sold (part)	08/23/19	J	A	
63. - Matthews Asia Funds Innovators Fund Investor CL IV	A	Dividend	J	T					
64. - Invesco Oppenheimer Emerging Markets Local Debt Fund	C	Dividend	L	T	Buy (add'l)	02/20/19	K		
65. - Vanguard World FD Intl Growth FD	A	Dividend	J	T					
66. - Wasatch Advisors FDS Core Growth FD	A	Dividend	J	T					
67. - Alger Growth Small Cap Focus FD	A	Dividend	K	T	Buy	02/25/19	K		
68. - Artisan Partners FDS Inc Mid Cap FD	C	Dividend	K	T	Buy	02/25/19	L		

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69.					Sold (part)	08/23/19	K	B	
70. - Ashmore FDS Emerging Mkts Corp Debt FD	C	Dividend	L	T	Buy	02/20/19	L		
71. - Goldman Sachs Funds GQG Ptrns Int Opptys FD	A	Dividend	L	T	Buy	02/25/19	K		
72.					Buy (add'l)	05/30/19	J		
73. - Hannon Armstrong Sustainable Infrastructure Capital Inc	B	Dividend	K	T	Buy	01/25/19	K		
74. - Nokia Corp Sponsored ADR		None	J	T	Buy	07/30/19	J		
75. - Polen Growth Fund Institutional Class		None	J	T	Buy	05/22/19	J		
76. - Tex PAC Land TR Sub SH CTF Proprietary Unit	A	Dividend	K	T	Buy	01/30/19	K		
77. - Vanguard Index TR Mid Cap Index FD	A	Dividend	L	T	Buy	02/25/19	L		
78. Trust Account #12 (H)									
79. - Dodge & Cox Intl Stock FD	B	Dividend	K	T					
80. - Matthews Asia Dividend FD	B	Dividend	K	T					
81. - Primecap Odyssey FDS Aggressive Growth FD	B	Dividend	K	T	Sold (part)	08/13/19	J	B	
82.					Sold (part)	08/23/19	K	D	
83. - Dodge & Cox Stock Fund	D	Dividend	L	T	Sold (part)	01/07/19	J		
84. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
85. - Saratoga Advantage TR James Alpha Gbl Real Estate	B	Dividend	K	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. - Pimco Multi-MGR Short Duration Muni Inc Fund Inst CL	A	Dividend	J	T	Sold (part)	01/07/19	J		
87.					Buy (add'l)	02/05/19	J		
88.					Sold (part)	02/13/19	J	A	
89.					Buy (add'l)	03/05/19	J		
90.					Buy (add'l)	04/05/19	J		
91.					Sold (part)	04/10/19	J	A	
92.					Buy (add'l)	05/06/19	L		
93.					Buy (add'l)	06/05/19	J		
94.					Buy (add'l)	07/05/19	J		
95.					Buy (add'l)	08/05/19	J		
96.					Buy (add'l)	09/05/19	J		
97.					Buy (add'l)	10/07/19	J		
98.					Buy (add'l)	11/05/19	J		
99.					Buy (add'l)	12/05/19	J		
100.					Sold (part)	12/23/19	J	A	
101. - American Funds Developing World Growth & Income FD	A	Dividend	J	T					
102. - Oakmark Global Select Fund Advisor Class	A	Dividend	K	T					

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(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	
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. - Oakmark International Small Cap FD Advisor CL	B	Dividend	K	T					
104. - Matthews Intl FD Asain Growth & Income FD	A	Dividend	K	T					
105. - Nuveen Muni TR High Yield Mun BD FD	C	Dividend	L	T	Buy (add'l)	08/23/19	K		
106.					Sold (part)	12/23/19	J	A	
107. - Virtus Funds Vontobel Emerging Mkts Opportunities FD	A	Dividend	K	T					
108. - Valaris Plc	A	Dividend	K	T					
109. -Brown Cap Mgmt Mut FDS Brown Cap Mgmt Small Co FD	A	Dividend	J	T					
110. - BHP Billiton LTF Spon Adr	B	Dividend	K	T					
111. - Cabot Oil & Gas		None			Sold	01/04/19	K		
112. - Enbridge Inc	B	Dividend	K	T					
113. - Enterprise Products Partners	B	Distribution	L	T	Buy (add'l)	12/23/19	K		
114. - Energy Trnsfer Partners	B	Distribution	K	T	Buy (add'l)	12/13/19	J		
115.					Buy (add'l)	12/18/19	J		
116. - Johnson & Johnson	A	Dividend	K	T					
117. - Medley Capital Corp	A	Dividend	J	T					
118. - Microsoft Corp	A	Dividend	L	T	Sold (part)	01/04/19	J	D	
119.					Sold (part)	08/13/19	K	E	

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		
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Ambro, Thomas L.

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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. - National Oil Well Varco Inc	A	Dividend			Sold	12/18/19	J		
121. - Natixis FDS TR II Vaughan Nelson Select FD CL Y		None			Sold	08/23/19	J	A	
122. - Natixis Fund Trust II Vaughan Nelson Value Class Y	A	Dividend	J	T					
123. - Range Resources		None			Sold	12/18/19	J		
124. - Rio Tinto Plc Spon Adr	B	Dividend	K	T					
125. - South32 LTD Spon	A	Dividend	J	T					
126. - Southwestern Energy Co		None	J	T					
127. - USA Compression Partners LP Com	B	Distribution	K	T					
128. - Vanguard Funds Dividend Growth Fund Investor Class	A	Dividend	K	T					
129. - Vanguard Sprcialized Portfolios Energy Port Investor Class	B	Dividend	K	T					
130. - Weatherford International PLC WFT		None			Sold	12/31/19	J		
131. - WSFS Financial Corp	A	Dividend	J	T					
132. - Invesco Oppenheimer Steelpath MLP Select 40 Fund	B	Dividend			Sold	12/16/19	K		
133. - Buckeye Partners LP Unit LTD Partnersihp	B	Distribution			Sold	11/01/19	K	C	
134. - Voya CBRE Global Infrastructure FD CL I	B	Dividend	K	T					
135. - Invesco Oppenheimer Steelpath MLP Alpha Fund	B	Dividend	K	T	Buy	12/16/19	K		
136. - Goldman Sachs Fund GQG Ptnrs Intl Opptys FD	A	Dividend	J	T	Buy	05/30/19	J		

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
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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	
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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)
137.									
138. Springside, LLC (2000 - \$300,000, 2012-\$20,123)	F	Rent	P1	W					
139. Trust #16 (H)									
140. - Apollo Investment Corp	B	Dividend	J	T					
141. - Blackrock Kelso Capital Corp	B	Dividend			Sold	04/02/19	K		
142. - Medley Capital Corp	A	Dividend	K	T					
143. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
144. - Golub Cap BDC Inc	D	Dividend	L	T	Buy (add'l)	04/02/19	K		
145. - TPG Specialty Lending Inc	C	Dividend	K	T					
146. PCM Family LLC	A	Dividend	M	W					
147. The Sequoia Fund	D	Dividend	M	T	Buy (add'l)	01/02/19	J		
148.					Buy (add'l)	02/01/19	J		
149.					Buy (add'l)	03/01/19	J		
150.					Buy (add'l)	04/01/19	J		
151.					Buy (add'l)	05/01/19	J		
152.					Buy (add'l)	06/03/19	J		
153.					Buy (add'l)	07/01/19	J		

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	08/01/19	J		
155.					Buy (add'l)	09/03/19	J		
156.					Buy (add'l)	10/01/19	J		
157.					Buy (add'l)	11/01/19	J		
158.					Buy (add'l)	12/02/19	J		
159. Trust #18 (H)									
160. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	K	T					
161. - West Wilson Util Dist TN WTR WKS Rev	B	Interest	K	T	Sold (part)	04/16/19	J	A	
162. - Montana ST BRD Regents High Ed Rev	B	Interest	K	T					
163. - Ocean Cnty NJ RFDG SER A G/O Unl TD	B	Interest	L	T					
164. - Port Seattle WA REV RFDG Inter Ser a	C	Interest			Sold	09/19/19	K	B	
165. - Metropolitan Transn Auth NY Rev	C	Interest	L	T					
166. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlng FD Ser C	C	Interest	L	T					
167. - New York ST Envmtl Facs Corp Rev ST Ser D	B	Interest	L	T					
168. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	C	Interest	L	T					
169. - New York ST Dorm Uth Revs Non ST Supported Debt CPN	B	Interest	L	T					
170. - USF Fing Corp FL CTF Partn Rfdg Mstr Lse PG Ser	B	Interest	L	T					

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

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Ambro, Thomas L.

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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)
171. - Hawaii St Unrefunded Balance Rfdg Ser Ed	A	Interest	J	T					
172. - Harris Cnty TX Cultural Ed Facs Fin Corp Med FA CS Rev	A	Interest	K	T					
173. - Salt Riv Proj Agric Impt & PWR Dist AZ Elec SY S Rev BD	C	Interest	L	T					
174. - Huntsville AL GO WTS 2018 A G/O	A	Interest	K	T					
175. - Jefferson Cnty Co Sch Dist R G/O	B	Interest	L	T					
176. - York County PA GO RFDG BDS 2017 G/O	C	Interest	L	T					
177. - Westfield IN High Sch 1995 Building Corp Unltd	B	Interest	K	T					
178. - Clark Cnty VN Arpt Rev SYS BDS McCarran Intl		None	L	T	Buy	09/19/19	L		
179. Trust #19 (H)									
180. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
181. - iShares Core S&P 500 Index FD	A	Dividend	K	T	Sold (part)	04/11/19	J	A	
182.					Sold (part)	08/27/19	K	C	
183. - Vanguard FTSE Developed Markets ETF	B	Dividend	J	T	Sold (part)	04/11/19	J	A	
184.					Sold (part)	08/27/19	K		
185.					Sold (part)	10/01/19	J		
186. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend	J	T	Sold (part)	04/11/19	J	A	
187.					Sold (part)	08/27/19	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	
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Name of Person Reporting

Ambro, Thomas L.

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188.					Sold (part)	10/01/19	J	A	
189. - Vanguard Mid Cap	A	Dividend			Sold (part)	04/11/19	J	A	
190.					Sold	08/27/19	J	B	
191. - Vanguard REIT	A	Dividend			Sold (part)	04/11/19	J	A	
192.					Sold	08/27/19	J	B	
193. - Vanguard Small Cap Value VBR	A	Dividend			Sold (part)	04/11/19	J		
194.					Sold	08/27/19	J	A	
195. - Vanguard Small Cap VB	A	Dividend			Sold	08/27/19	J	B	
196. - Vanguard Total Bond Market BND	A	Dividend			Sold (part)	04/11/19	J		
197.					Sold	08/27/19	J	A	
198. - Vanguard Total Stock Market ETF	A	Dividend			Sold (part)	04/11/19	J	A	
199.					Sold	08/27/19	K	D	
200. - Vanguard Mid-Cap Value ETF Index Fund	A	Dividend			Sold (part)	04/11/19	J		
201.					Sold	08/27/19	J		
202. - Vanguard Value ETF	A	Dividend			Sold (part)	04/11/19	J		
203.					Sold	08/27/19	J		
204. - Goldman Sachs ETF US Large Cap	A	Dividend	J	T	Buy	08/27/19	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
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205. - Invesco TR II ETF Emerging Mkts Sovereign Debt	A	Dividend	J	T	Buy	08/27/19	J		
206. - iShares Russell 2000 ETF	A	Dividend	J	T	Buy	08/27/19	J		
207. - iShares Core S&P Mid ETF	A	Dividend	K	T	Buy	08/27/19	K		
208. - iShares Core US Aggregate Bond ETF	A	Dividend	L	T	Buy	08/27/19	L		
209. - iShares Edge MSCI Min Vol USA ETF	A	Dividend	J	T	Buy	08/27/19	J		
210. - iShares iBoxx High Yield Corp Bond ETF	A	Dividend	J	T	Buy	08/27/19	J		
211. - iShares Inc Core MSCI Emerging Mkts ETF	A	Dividend	J	T	Buy	08/27/19	J		
212. - iShares JP Morgan USD Emerging Markets Bond ETF	A	Dividend	J	T	Buy	08/27/19	J		
213. - iShares MBS ETF	A	Dividend	J	T	Buy	08/27/19	J		
214.					Sold (part)	10/01/19	J		
215. - Sector SPDR TR Technology Select Sector ETF	A	Dividend	J	T	Buy	08/27/19	J		
216. - Select Sector SPDR TR Financial TR	A	Dividend	J	T	Buy	08/27/19	J		
217. - Select Sector SPDR Consumer Discretionary ETF	A	Dividend	J	T	Buy	08/27/19	J		
218. - Vanguard Intermediate Term Corp Bond ETF	A	Dividend	J	T	Buy	08/27/19	J		
219.					Buy (add'l)	10/01/19	J		
220. - Vanguard Short Term Corp BD ETF	A	Dividend	J	T	Buy	08/27/19	J		
221.					Sold (part)	10/01/19	J		

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2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. - Xtrackers USD High Yield Corporate Bond ETF	A	Dividend	J	T	Buy	08/27/19	J		
223. - Industrial Select Sector SPDR ETF	A	Dividend			Buy	08/27/19	J		
224.					Sold	10/01/19	J	A	
225. IRA #6 (H)									
226. - DWS Enhanced Commdty Strat Fund	A	Dividend			Sold	08/26/19	J		
227. - Columbia Select Large Cap Growth Fund CL Z	D	Dividend			Sold (part)	01/11/19	J		
228.					Sold (part)	04/12/19	J		
229.					Sold (part)	07/12/19	J		
230.					Sold	08/26/19	K		
231. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T	Buy (add'l)	08/26/19	J		
232. - John Hancock FDS II Global Absolute Return Strategies FD CL I	B	Dividend			Buy (add'l)	08/26/19	J		
233.					Sold	08/26/19	J		
234. - Hotchkis & Wiley FDS Mid Cap Value FD CL I		None			Sold	07/08/19	J		
235. - John Hancock Funds II Absolute Return Currency FD CL I		None			Sold	12/06/19	J	A	
236. - MFS Ser TR I Value FD	A	Dividend	K	T	Sold (part)	08/26/19	K	C	
237. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	K	T	Buy (add'l)	08/26/19	J		
238. - JP Morgan TR I US Large Cap Core Plus FD SEL CL	D	Dividend			Sold	08/26/19	L		

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. - Neuberger Berman Alternative FDs Long Short FD Instl CL		None			Sold	08/26/19	J	A	
240. - American Europacific Growth FU CL F2	B	Dividend	K	T	Sold (part)	08/26/19	J		
241. - Invesco Oppenheimer Dev Mkts CL Y	A	Dividend	K	T	Buy (add'l)	08/26/19	J		
242. - Invesco Oppenheimer Intl BD FD CL Y	A	Dividend			Sold	08/26/19	J		
243. - Principal FDS Inc High Yield FD Instl CL	B	Dividend	K	T	Buy (add'l)	08/26/19	J		
244.					Buy (add'l)	08/27/19	J		
245. - Victory Sycamore Small Co Oppty FD CL I		None			Sold	08/26/19	K	A	
246. - AQR FDS Managed Futures Strategy FL CL I		None			Sold	08/27/19	J		
247. - Principal FDS Inc Global Multi Strategy FD Instl CL		None			Sold	08/26/19	J		
248. - Wells Fargo Funds TR Special Mid Cap Value FD CL I	A	Dividend	J	T					
249. - American Century Invt TR Diversified BD FD	A	Dividend			Sold	08/26/19	K	B	
250. -Brown Advisory FDS Small Cap Growth FD		None			Sold	08/26/19	K	C	
251. - MFS Series TR XII Global Real Estate Fund					Sold	08/26/19	K	B	
252. - Baird FDS Inc Aggregate BD FD Instl SHS	A	Dividend	K	T	Buy	08/26/19	K		
253. - Fidelity 500 Index Fund	A	Dividend	K	T	Buy	08/27/19	K		
254. - Goldman Sachs TR Finl Square Treas Instrs FD	A	Dividend	J	T	Buy	08/27/19	J		
255. - Harbor Fund Small Cap Value FD Instl	A	Dividend	K	T	Buy	08/26/19	K		

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

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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)
256. - Harbor FD Cap Appreciation FD Instl	B	Dividend	K	T	Buy	08/26/19	K		
257. - Meridian FD Inc Small Cap Growth FD Investor	B	Dividend	K	T	Buy	08/27/19	K		
258. - Metropolitan West FDS Total Return BD FD	A	Dividend	L	T	Buy	08/27/19	L		
259.					Buy (add'l)	12/06/19	J		
260. - JP Morgan Funds Intrepid Value Fund I	B	Dividend	K	T	Buy	08/26/19	K		
261. - Principal FDS Inc Midcap Fund Instl Class	B	Dividend	K	T	Buy	08/26/19	L		
262. - Blackrock Core Bond Portfolio Institutional Class	A	Dividend	K	T	Buy	08/27/19	K		
263. - Abbey Capital Futures Strategy Fund Class		None	J	T	Buy	12/05/19	J		
264. - Transamerica Mid Cap Value Opportunities CL		None			Buy	07/08/19	J		
265.					Buy (add'l)	07/09/19	J		
266.					Sold	08/26/19	J		
267. Roth IRA #1 (H)									
268. - Valaris PLC Class 1	A	Dividend	J	T					
269. - Transocean LTD		None	J	T					
270. - Enbridge Inc	A	Dividend	J	T	Buy	01/15/19	J		
271. Roth IRA #2 (H)									
272. - Exxon Mobil Corp	A	Dividend	J	T					

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. - Brown Advisory FDS Adisory Small Cap Growth FD	A	Dividend	J	T					
274. - MFS SER TR X Emerging MKTS Debt FD CL1	A	Dividend			Sold	02/14/19	J		
275. - Enbridge Inc	A	Dividend	J	T	Buy	01/15/19	J		
276. - Wells Fargo Bank, N.A.Bank Deposit Sweep (X)		Interest	J	T					

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

Asset listed in Part VII, Line 138, has rental activity from property located near Newark, DE.

Asset listed in Part VII, Line 146, has rental activity from property located in New Castle County, DE.

Assets listed in Part VII, line 28 changed its name from Steelpath MLP FDS TR Oppenheimer to Invesco Oppenheimer Steelpath MLP Select 40 Fund

Assets listed in Part VII, line 46 changed its name from Marine Harvey ASA Spon ADR to Mowi ASA Spon ADR

Assets listed in Part VII, line 64 changed its name from Oppenheimer Emerging Markets Local Debt Fund to Invesco Oppenheimer Emerging Markets Local Debt Fund

Assets listed in Part VII, line 108 changed its name from Ensco PLC to Valaris PLC

Assets listed in Part VII, line 132 changed its name from Steelpath MLP FDS TR Oppenheimer to Invesco Oppenheimer Steelpath MLP Select 40 Fund

Assets listed in Part VII, line 268 changed its name from Ensco PLC to Valaris PLC

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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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Washington, D.C. 20544