

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 02/01/2020
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 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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	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. 2018	Georgetown University - teaching	\$6,250.00
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.	Aspen Institute	July 20-22, 2018	Queenstown, MD	The Justice and Society Program	Transportation, Lodging
2.	Georgetown University	September 9-10, 2018	Washington, DC	Teaching Class	Transportation
3.	Georgetown University	September 16-17, 2018	Washington, DC	Teaching Class	Transportation
4.	Georgetown University	September 23-24 2018	Washington, DC	Teaching Class	Transportation
5.	Georgetown University	October 1-2, 2018	Washington, DC	Teaching Class	Transportation
6.	Georgetown University	October 21-22, 2018	Washington, DC	Teaching Class	Transportation

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7.	Georgetown University	October 28-29, 2018	Washington, DC	Teaching Class	Transportation
8.	Georgetown University	November 5, 2018	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	November 11-12, 2018	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	November 17-19, 2018	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	November 25-26, 2018	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	November 30, 2018	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	December 2-3, 2018	Washington, DC	Teaching Class	Transportation
14.	Georgetown University	December 17-18, 2018	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 139)	P1
2. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 139)	P1
3. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 139)	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	L	T					
2. M&T Bank Account		None	J	T					
3. Trust Account #6 (H)									
4. - Harris Assoc Oakmark I	E	Dividend	M	T	Sold (part)	02/28/18	J	A	
5.					Sold (part)	07/13/18	J	B	
6. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
7. IRA Account #2 (H)									
8. - Fairholme Fund	B	Dividend	L	T					
9. - Dodge & Cox Intl Stock FD	B	Dividend	K	T					
10. - Federated Strategic Value Dividend FD	C	Dividend	L	T					
11. - Natixis FDS TR I Oakmark Intl FD	B	Dividend	K	T					
12. - Brandes Invt TR Instl Emerging Mkts FD	A	Dividend	K	T					
13. - Matthews Asia Dividend FD	B	Dividend	K	T					
14. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	L	T					
15. - Pimco Equity SER	C	Dividend	L	T					
16. - Neuberger Berman Alternative FDS	C	Dividend	K	T	Sold (part)	10/02/18	K	B	
17. - Primecap Odyssey Growth	B	Dividend	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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18. - Virtus Emerging Markets Opportunities Fund	B	Dividend	K	T					
19. - JP Morgan TR I Strategic Income Opportunity	C	Dividend	M	T					
20. - Dodge & Cox Stock FD	D	Dividend	L	T					
21. - Dodge & Cox Income FD	C	Dividend	M	T					
22. - Doubleline FDS TR Total Return BD FD	C	Dividend	M	T					
23. - Harris Assoc Invt TR Oakmark Global Select FD	D	Dividend	M	T					
24. - Federated Equity FDS Intl Strategic Value Div FD	B	Dividend	K	T					
25. - Saratoga Advantage TR James Alpha Gbl Real Estate Invst	D	Dividend	L	T					
26. - T Rowe Price New Era Fund	A	Dividend	K	T					
27. - Steelpath MLP FDS TR Oppenheimer	B	Dividend	K	T					
28. - Artisan Partners FDS Inc Global Value FD Adv	C	Dividend	L	T					
29. - Guggenheim FDS TR Macro Opportunities FD Instl CL	C	Dividend	L	T					
30. - Kinetics MUT FDS INC Paradigm Fund Instl CL	A	Dividend	J	T					
31. - Kinetics MUT FDS Inc Small Cap Opportunities FD Instl CL		None	J	T					
32. - Pimco Low Duration Income Fund	D	Dividend	M	T					
33. - Pimco FDS Income FD Instl CL	C	Dividend	L	T					
34. - Trust for Advised port Miller Opportunity TR		None	K	T					

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35. - Artisan Intl Small Cap Fund Investor Series	D	Dividend	K	T					
36. - Brown Cap Mgmt Small Co FD Instl CL	A	Dividend	J	T					
37. - Devon Energy Corp	A	Dividend	J	T					
38. - Exxon Mobil Corp	C	Dividend	L	T					
39. - Fairholme FDS In Focused Income Fund	A	Dividend	K	T	Sold (part)	03/27/18	K		
40. - Oakmark International Small Cap FD Advisor CL	B	Dividend	K	T					
41. - Knot Offshore Partners LP	D	Dividend	L	T					
42. - Marine Harvest Asaspon Adr	B	Dividend	K	T					
43. - Matthews Intl FD Asian Growth & Income FD	D	Dividend	L	T					
44. - Miller Invt Trust Convertible BD FD	E	Dividend	O	T	Sold (part)	08/15/18	J		
45.					Sold (part)	10/12/18	J		
46.					Sold (part)	10/25/18	K		
47. - Professionally Managed Portfolio CL Instl Hodges Small Cap	A	Dividend	J	T					
48. - Rex Energy Corp		None			Closed	11/21/18			
49. - Sunoco LP	D	Distribution	L	T					
50. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T					
51. - American Midstream Partners LP	A	Dividend	J	T	Buy	08/15/18	J		

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52. - Buckeye Partners LP	A	Distribution	J	T	Buy	10/22/18	K		
53. - Crossamerica Partners LP	A	Distribution	J	T	Buy	05/15/18	K		
54. - Enbridge Energy Partners LP	A	Distribution			Buy	05/15/18	J		
55.					Merged (with line 56)	12/20/18	J		
56. - Enbridge Inc	A	Dividend	L	T	Buy	09/27/18	K		
57.					Buy (add'l)	12/11/18	J		
58.					Buy (add'l)	12/19/18	J		
59. - Golar LNG LTD	A	Dividend	K	T	Buy	08/15/18	K		
60. - Hoegh LNG Partners LP	B	Dividend	K	T	Buy	07/24/18	K		
61.					Buy (add'l)	08/15/18	K		
62. - Alger Funds Small Cap Focus FD	A	Dividend	J	T	Buy	11/15/18	J		
63. - Matthews Asia Funds Innovators Fund Investor CL IV	A	Dividend	J	T	Buy	09/27/18	J		
64. - Oppenheimer Emerging Markets Local Debt Fund	B	Dividend	K	T	Buy	03/27/18	K		
65. - Vanguard World FD Intl Growth FD	A	Dividend	J	T	Buy	05/24/18	J		
66. - Wasatch Advisors FDS Core Growth FD	A	Dividend	J	T	Buy	11/15/18	J		
67. - Ensco Plc	A	Dividend			Buy	01/04/18	J		
68.					Distributed	03/13/18	J		

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69. - Transocean LTD		None			Buy	01/04/18	J		
70.					Distributed	03/13/18	J		
71. - General Electric Company	A	Dividend			Buy	08/16/18	J		
72.					Sold	09/27/18	J		
73. Trust Account #12 (H)									
74. - Fairholme Fund	A	Dividend			Sold (part)	07/30/18	J		
75.					Sold (part)	08/03/18	K		
76.					Sold	12/17/18	K		
77. - Dodge & Cox Intl Stock FD	A	Dividend	K	T					
78. - Matthews Asia Dividend FD	C	Dividend	K	T					
79. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	K	T					
80. - Dodge & Cox Stock Fund	C	Dividend	L	T					
81. - Wells Fargo Bank, N.A.Bank Deposit Sweep	B	Interest	K	T					
82. - Saratoga Advantage TR James Alpha Gbl Real Estate	B	Dividend	K	T					
83. - Pimco Multi-MGR Short Duration Muni Inc Fund Inst CL	A	Dividend	J	T	Sold (part)	01/02/18	K		
84.					Buy (add'l)	01/05/18	J		
85.					Buy (add'l)	01/19/18	K		

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86.					Buy (add'l)	02/06/18	J		
87.					Sold (part)	02/07/18	J		
88.					Buy (add'l)	03/05/18	J		
89.					Buy (add'l)	04/05/18	J		
90.					Sold (part)	04/11/18	L		
91.					Buy (add'l)	05/07/18	J		
92.					Buy (add'l)	06/05/18	J		
93.					Buy (add'l)	07/05/18	J		
94.					Sold (part)	07/30/18	J		
95.					Buy (add'l)	08/06/18	J		
96.					Buy (add'l)	09/05/18	J		
97.					Buy (add'l)	11/05/18	J		
98.					Buy (add'l)	12/06/18	J		
99.	- American Funds Developing World Growth & Income FD	A	Dividend	J	T				
100.	- Artisan Intl Small Cap Fund Investor Series		None		Sold	10/25/18	K		
101.	- Oakmark Global Select Fund Advisor Class	B	Dividend	K	T				
102.	- Oakmark International Small Cap FD Advisor CL	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)
103. - Matthews Intl FD Asain Growth & Income FD	B	Dividend	J	T					
104. - Nuveen Muni TR HIgh Yield Mun BD FD	C	Dividend	K	T	Sold (part)	04/11/18	K		
105.					Sold (part)	04/16/18	J		
106.					Sold (part)	06/01/18	J		
107. - Virtus Funds Vontobel Emerging Mkts Opportunities FD	A	Dividend	J	T					
108. - Ensc0 Plc	A	Dividend	K	T	Buy (add'l)	12/19/18	J		
109. -Brown Cap Mgmt Mut FDS Brown Cap Mgmt Small Co FD	A	Dividend	J	T					
110. - BHP Billiton LTF Spon Adr	A	Dividend	K	T					
111. - Cabot Oil & Gas	A	Dividend	J	T					
112. - Enbridge Inc	A	Dividend	K	T	Buy (add'l)	08/15/18	J		
113. - Enterprise Products Partners		None	K	T					
114. - Energy Trnsfer Partners		None	K	T					
115. - Johnson & Johnson	A	Dividend	K	T					
116. - Medley Capital Corp	B	Dividend	J	T					
117. - Microsoft Corp	B	Dividend	L	T	Sold (part)	12/18/18	J	D	
118. - National Oil Well Varco Inc	A	Dividend	J	T					
119. - Natixis FDS TR II Vaughan Nelson Select FD CL Y	A	Dividend	J	T	Sold (part)	07/30/18	J	C	

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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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. - Natixis Fund Trust II Vaughan Nelson Value Class Y	A	Dividend	J	T					
121. - Plains GP Holdings LP	A	Dividend			Sold	08/15/18	J		
122. - Range Resources	A	Dividend	J	T					
123. - Rex Energy		None			Sold	05/22/18	J		
124. - Rio Tinto Plc Spon Adr	B	Dividend	K	T					
125. - South32 LTD Spon	A	Dividend	J	T					
126. - Southwestern Energy Co		None	K	T	Buy (add'l)	02/06/18	K		
127.					Sold (part)	09/27/18	K		
128.					Buy (add'l)	12/19/18	J		
129. - USA Compression Partners LP Com		None	J	T					
130. - Vanguard Funds Dividend Growth Fund Investor Class	B	Dividend	J	T					
131. - Vanguard Sprcialized Portfolios Energy Port Investor Class	B	Dividend	K	T	Sold (part)	10/12/18	J		
132. - Weatherford International PLC WFT		None	J	T					
133. - WSFS Financial Corp	A	Dividend	J	T					
134. - T Rowe Price New Era fund		None			Buy	05/02/18	J		
135.					Sold	12/10/18	J		
136. - Steelpath MLP FDS TR Oppnheimer	B	Dividend	K	T	Buy	05/02/18	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)	(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)
137. - Buckeye Partners LP Unit LTD Partnersihp		None	K	T	Buy	09/27/18	K		
138. - Voya CBRE Global Infrastructure FD CL I	A	Dividend	K	T	Buy	10/25/18	K		
139. Springside, LLC (2000 - \$300,000, 2012-\$20,123)	E	Rent	P1	W					
140. Trust #16 (H)									
141. - Apollo Investment Corp	A	Dividend	J	T					
142. - Blackrock Kelso Capital Corp	B	Dividend	K	T					
143. - Medley Capital Corp	C	Dividend	K	T					
144. - Wells Fargo Bank, N.A.Bank Deposit Sweep		None	J	T					
145. - Golub Cap BDC Inc	D	Dividend	K	T					
146. - TPG Specialty Lending Inc	C	Dividend	K	T					
147. PCM Family LLC	A	Dividend	M	W					
148. The Sequoia Fund	E	Dividend	L	T	Buy (add'l)	01/02/18	J		
149.					Buy (add'l)	02/01/18	J		
150.					Buy (add'l)	03/01/18	J		
151.					Buy (add'l)	04/02/18	J		
152.					Buy (add'l)	05/01/18	J		
153.					Buy (add'l)	06/01/18	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	

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)
154.					Buy (add'l)	07/02/18	J		
155.					Buy (add'l)	08/01/18	J		
156.					Buy (add'l)	09/04/18	J		
157.					Buy (add'l)	10/01/18	J		
158.					Buy (add'l)	11/01/18	J		
159.					Buy (add'l)	12/03/18	J		
160. Trust #18 (H)									
161. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
162. - West Wilson Util Dist TN WTR WKS Rev	B	Interest	L	T					
163. - Montana ST BRD Regents High Ed Rev	B	Interest	K	T					
164. - Ocean Cnty NJ RFDG SER A G/O Unl TD	B	Interest	L	T					
165. - Port Seattle WA REV RFDG Inter Ser a	B	Interest	L	T					
166. - Metropolitan Transn Auth NY Rev	C	Interest	L	T					
167. - New York NY City Transtnl FIn Auth Bldg Aid Rev	B	Interest			Redeemed	08/27/18	K		
168. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlvng FD Ser C	C	Interest	L	T					
169. - New York ST Envmtl Facs Corp Rev ST Ser D	B	Interest	L	T					
170. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	C	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	
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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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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)
171. - New York ST Dorm Uth Revs Non ST Supported Debt CPN	B	Interest	L	T					
172. - USF Fing Corp FL CTF Partn Rfdg Mstr Lse PG Ser	B	Interest	L	T					
173. - Hawaii St Unrefunded Balance Rfdg Ser Ed	A	Interest	J	T					
174. - Athens Clarke Cnty GA Uni Govt Dev Auth Rev Rfdg Univ GA	B	Interest			Sold	06/29/18	L		
175. - Harris Cnty TX Cultural Ed Facs Fin Corp Med FA CS Rev	A	Interest	K	T					
176. - Hays Cnty TX LTD Tax G/O	C	Interest			Sold	12/13/18	K		
177. - Salt Riv Proj Agric Impt & PWR Dist AZ Elec SY S Rev BD	B	Interest	L	T					
178. - Huntsville AL GO WTS 2018 A G/O		None	K	T	Buy	04/20/18	K		
179. - Jefferson Cnty Co Sch Dist R G/O		None	L	T	Buy	12/14/18	L		
180. - York County PA GO RFDG BDS 2017 G/O	B	Interest	L	T	Buy	06/29/18	L		
181. - Westfield IN High Sch 1995 Building Corp Unltd		None	K	T	Buy	09/13/18	K		
182. Trust #19 (H)									
183. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
184. - iShares Russell 1000 Value FD		None			Sold	10/09/18	J	A	
185. - iShares Core S&P 500 Index FD	B	Dividend	K	T	Sold (part)	10/09/18	K	D	
186. - Vanguard FTSE Developed Markets ETF	B	Dividend	L	T	Buy (add'l)	10/09/18	J		
187. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend	K	T	Buy (add'l)	10/09/18	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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Ambro, Thomas L.

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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)
188. - Vanguard Mid Cap	A	Dividend	J	T	Sold (part)	10/09/18	J	A	
189. - Vanguard REIT	A	Dividend	J	T	Buy (add'l)	10/09/18	J		
190. - Vanguard Small Cap Value VBR	A	Dividend	J	T	Buy (add'l)	10/09/18	J		
191. - Vanguard Small Cap VB	A	Dividend	J	T	Sold (part)	10/09/18	J	B	
192. - Vanguard Total Bond Market BND	A	Dividend	J	T	Buy (add'l)	10/09/18	J		
193. - Vanguard Total Stock Market ETF	A	Dividend	K	T	Buy (add'l)	10/09/18	J		
194. - Vanguard Mid-Cap Value ETF Index Fund	A	Dividend	J	T	Buy	10/09/18	J		
195. - Vanguard Value ETF	A	Dividend	J	T	Buy	10/09/18	J		
196. IRA #6 (H)									
197. - Invesco Global Real Estate	A	Dividend			Sold	09/24/18	K	A	
198. - DWS Enhanced Commdty Strat Fund	A	Dividend	J	T					
199. - Columbia Select Large Cap Growth Fund CL Z	D	Dividend	K	T	Sold (part)	01/12/18	J		
200.					Sold (part)	04/13/18	J		
201.					Sold (part)	07/13/18	J		
202. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T	Buy (add'l)	01/04/18	J		
203.					Distributed (part)	03/14/18	J		
204. - John Hancock FDS II Global Absolute Return Strategies FD CL I	A	Dividend	J	T	Buy (add'l)	01/04/18	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	
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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)
205.					Distributed (part)	03/14/18	J		
206. - Hotchkis & Wiley FDS Mid Cap Value FD CL I	A	Dividend	J	T					
207. - John Hancock Funds II Absolute Return Currency FD CL I		None	J	T	Buy (add'l)	01/04/18	J		
208.					Distributed (part)	03/14/18	J		
209. - MFS Ser TR I Value FD	B	Dividend	K	T					
210. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	K	T	Buy (add'l)	01/04/18	J		
211.					Distributed (part)	03/14/18	J		
212. - JP Morgan TR I US Large Cap Core Plus FD SEL CL	D	Dividend	K	T	Sold (part)	10/12/18	J	A	
213. - Neuberger Berman Alternative FDs Long Short FD Instl CL	A	Dividend	J	T					
214. - American Europacific Growth FU CL F2	B	Dividend	K	T					
215. - Oppenheimer Dev Mkts CL Y	A	Dividend	K	T					
216. - Oppenheimer Intl BD FD CL Y	A	Dividend	J	T					
217. - Principal FDS Inc High Yield FD Instl CL	B	Dividend	K	T	Buy (add'l)	01/04/18	J		
218.					Distributed (part)	03/14/18	J		
219. - Victory Sycamore Small Co Oppty FD CL I	B	Dividend	K	T					
220. - AQR FDS Managed Futures Strategy FL CL I		None	J	T					
221. - Principal FDS Inc Global Multi Strategy FD Instl CL	A	Dividend	J	T					

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)	(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. - Wells Fargo Funds TR Special Mid Cap Value FD CL I	A	Dividend	J	T					
223. - American Century Invt TR Diversified BD FD	B	Dividend	K	T	Buy (add'l)	01/04/18	J		
224.					Buy (add'l)	09/25/18	J		
225.					Distributed (part)	03/14/18	J		
226.					Distributed (part)	03/16/18	J		
227. -Brown Advisory FDS Small Cap Growth FD	A	Dividend	K	T	Buy (add'l)	01/04/18	J		
228.					Distributed (part)	03/14/18	J		
229. - MFS Series TR XII Global Real Estate Fund	A	Dividend	K	T	Buy	09/24/18	K		
230. Roth IRA #1 (H)									
231. -Enesco PLC Class 1	A	Dividend	J	T	Open	03/13/18	J		
232. - Transocean LTD		None	J	T	Open	03/13/18	J		
233. Roth IRA #2 (H)									
234. - Exxon Mobil Corp	A	Dividend	J	T	Buy	10/11/18	J		
235. - Brown Advisory FDS Adisory Small Cap Growth FD	A	Dividend	J	T	Open	03/14/18	J		
236. - MFS SER TR X Emerging MKTS Debt FD CL1	A	Dividend	J	T	Open	03/14/18	J		
237. - American Century Invt Diversified BD FD	A	Dividend			Open	03/14/18	J		
238.					Sold	10/11/18	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
(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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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		

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. - Eaton Vance Mutual FD TR Global Macro Abslt Return		None			Open	03/14/18	J		
240.					Sold	10/11/18	J		
241. - John Hancock FDS II Global Absolute Return Strategies		None			Open	03/14/18	J		
242.					Sold	10/11/18	J		
243. - John Hancock FDS II Absolute Return Currency FD CL I		None			Open	03/14/18	J		
244.					Sold	10/11/18	J	A	
245. - Principal FDS Inc High Yield FD Instl CL	A	Dividend			Open	03/14/18	J		
246.					Sold	10/11/18	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
(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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Name of Person Reporting

Ambro, Thomas L.

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

Asset listed in Part VII, Line 48 went bankrupt. No proceeds received.

Asset listed in Part VII, Lines 68 and 70 were transferred to Roth #1 reported on lines 231-232 as open.

Asset listed in Part VII, Line 139, has rental activity from property located near Newark, DE.

Asset listed in Part VII, Line 147, has rental activity from property located in New Castle County, DE.

Assets listed in Part VII, line 198 changed its name from Deutsche Secs TR Enhanced Commodity Strat FD Instl Class to DWS Enhanced Commdty Strat Fund.

Assets listed in Part VII, lines 203, 205, 208, 211, 218, 225, 226, 228 were transferred to Roth #2 and reported on lines 234-237 as open.

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Name of Person Reporting

Ambro, Thomas L.

Date of Report

02/01/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544