

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/10/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address Federal Courthouse 844 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. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Thomas L. Ambro Revocable Trust
2.	Member (Emeritus)	Georgetown University Alumni Admissions Program Board of Advisors
3.	Member	Executive Committee, Richard S. Rodney Inn of Court
4.	Member	Georgetown University Northern Delaware Alumni Admissions Program
5.	Member	Board of Editors, Delaware Lawyer
6.	Member	Board of Editors, Delaware Law Review
7.	Member	Board of Trustees of the American Inns of Court 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.		
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. 2011	State of Delaware - salary
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. Georgetown University	April 20, 2011	Washington, DC	Guest Teacher	Transportation
2. American Inns of Court	April 22, 2011	Washington, DC	Guest Speaker	Transportation
3. American Bar Association	May 3, 2011	New York City, NY	Working Group on Legal Opinions	Transportation
4. Georgetown University	May 26, 2011	Washington, DC	Professor Conference	Transportation
5. American Bar Association	August 5-7, 2011	Toronto, Canada	Annual Meeting	Transportation, Lodging & Meals
6. Georgetown University	August 31, 2011	Washington, DC	Teaching Class	Transportation
7. Georgetown University	September 12, 2011	Washington, DC	Teaching Class	Transportation

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8.	Georgetown University	September 26, 2011	Washington, DC	Teaching Class	Transportation
9.	Georgetown University	October 3, 2011	Washington, DC	Teaching Class	Transportation
10.	Georgetown University	October 17, 2011	Washington, DC	Teaching Class	Transportation
11.	Georgetown University	October 24, 2011	Washington, DC	Teaching Class	Transportation
12.	Georgetown University	October 26, 2011	Washington, DC	Teaching Class	Transportation
13.	Georgetown University	October 31, 2011	Washington, DC	Teaching Class	Transportation
14.	American Inns of Court	November 5, 2011	Washington, DC	Celebration of Excellence at Supreme Court	Transportation & Meals
15.	Georgetown University	November 7, 2011	Washington, DC	Teaching Class	Transportation
16.	Georgetown University	November 14, 2011	Washington, DC	Teaching Class	Transportation
17.	Georgetown University	November 21, 2011	Washington, DC	Teaching Class	Transportation
18.	Georgetown University	November 28, 2011	Washington, DC	Teaching Class	Transportation
19.	Georgetown University	December 4, 2011	Washington, DC	Teaching Class	Transportation
20.	Georgetown University	December 11-12, 2011	Washington, DC	Evaluating Class Finals	Transportation & Meals
21.	Georgetown University	December 16, 2011	Washington, DC	Postponed Final Exams	Transportation

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

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Commerce Bank N.A., now known as TD Bank N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 190)	P1
2.	Commerce Bank N.A., now known as TD Bank N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 190)	P1
3.	Commerce Bank N.A., now known as TD Bank N.A.	Partial guarantee of commercial loan to Springside, LLC (Part VII, Line 190)	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. Wilmington Trust Account	A	Interest	K	T					
2. Wilmington Trust Account	A	Interest	J	T					
3. Wilmington Tax Exempt Investor		None	J	T					
4. Delaware State Bond 6.1%		None			Sold	07/01/11	K	A	
5. Trust Account #6	D	Dividend	N	T					
6. - Centerpoint Energy Inc									
7. - Harris Assoc Oakmark I									
8. - Oppenheimer Limited Term Municipal FD CL C									
9. - WF Advantage Municipal Money Market									
10. - Susquehanna Bancshares					Buy	08/11/11	J		
11. - Teva Pharmaceutical ADR					Buy	08/15/11	J		
12. Trust Account #7	E	Int./Div.			Closed	10/28/11	J		
13. - Fairholme Fund					Sold (part)	07/13/11	L	E	
14.					Sold	10/07/11	L		
15. - Duke Energy Corp					Distributed	06/16/11	J		
16. - Microsoft Corp					Distributed	06/16/11	K		
17. - The Southern Company					Distributed	06/16/11	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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18. - WSFS Financial Corp					Sold	03/30/11	K	E	
19. - Harris Assoc INVT TR Oakmark Equity & Income FD					Sold	07/13/11	L	E	
20. - Harris Assoc INVT TR Oakmark Global Select FD					Buy (add'l)	01/31/11	K		
21.					Sold (part)	07/13/11	M	E	
22.					Sold	10/07/11	K		
23. - Nuveen Tradewinds Global All Cap FD					Sold (part)	07/13/11	L	E	
24.					Sold	10/07/11	K		
25. - Oppenheimer Limited Term Municipal Fund					Sold (part)	02/17/11	K		
26.					Buy (add'l)	07/15/11	M		
27.					Sold	10/7/11	M		
28. - Dodge & Cox FDS Intl FD					Sold (part)	01/28/11	L	A	
29.					Buy (add'l)	07/15/11	K		
30.					Sold	10/07/11	K		
31. - Matthews Intl FD Asian Growth & Income FD					Buy (add'l)	06/24/11	J		
32.					Sold (part)	07/13/11	K	A	
33.					Sold	10/07/11	K		
34. - Nuveen All American Municipal BD FD Intl					Sold (part)	04/05/11	L		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Buy (add'l)	07/15/11	M		
36.					Sold	10/07/11	M	C	
37. - WHV International Equity FD CL 1					Sold (part)	07/13/11	L	A	
38.					Sold	10/07/11	K		
39. - Vanguard Municipal Bond Fund High Yield					Sold	04/6/11	L		
40. -Federated Strategic Value Dividend Fund					Buy	07/15/11	K		
41.					Sold	10/7/11	K		
42. -Franklin Funds High Yield Tax-Free Inc Fund					Buy	07/15/11	M		
43.					Sold	10/07/11	M	B	
44. - Natixis FDS TR 1 Oakmark Intl FD					Buy	07/15/11	K		
45.					Sold	10/07/11	K		
46. - Nuveen Invt Trust Tradewinds Value Oppty					Buy	07/15/11	K		
47.					Sold	10/07/11	K		
48. - Pimco All Asset Fund Inst CL					Buy	07/15/11	K		
49.					Sold	10/07/11	K		
50. - Pimco Global Multi-Asset FD					Buy	01/07/11	M		
51.					Sold (part)	07/13/11	L	C	

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52.					Sold	10/07/11	K		
53. - Thornburg Invnt TR Income Builder FD					Buy	07/15/11	L		
54.					Sold	10/07/11	K		
55. IRA Account #1	D	Dividend	N	T					
56. - Oakmark Fund Class I									
57. - Dodge & Cox Intl Stock Fund					Buy (add'l)	01/04/11	J		
58.					Sold (part)	01/28/11	J	A	
59.					Buy (add'l)	07/15/11	J		
60. - Fairholme Fund					Sold (part)	07/13/11	K	D	
61.					Buy (add'l)	07/19/11	J		
62. - Harris Assoc Invnt TR Oakmark Equity & Income					Buy (add'l)	01/31/11	J		
63.					Sold (part)	07/13/11	J	A	
64.					Buy (add'l)	07/18/11	J		
65. - Pimco Unconstrained BD Fund CL Institutional					Buy (add'l)	07/15/11	J		
66. - JP Morgan TR Strategic Income Oppty SEL CL					Buy (add'l)	07/15/11	J		
67. - Loomis Sayles FDS I Bond Fund Retail Class					Sold (part)	05/05/11	K	A	
68.					Buy (add'l)	05/06/11	K		

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69.					Buy (add'l)	07/15/11	J		
70. - Matthews Intl FD Asian Growth & Income FD					Buy (add'l)	01/04/11	J		
71.					Sold (part)	07/13/11	J	A	
72. - Nuveen Tradewinds Global All Cap FD					Buy (add'l)	01/04/11	J		
73.					Sold	07/13/11	K	A	
74. - WHV International Equity FD CL I					Buy (add'l)	01/07/11	J		
75.					Sold (part)	07/13/11	J	A	
76. - Pimco FDS Emerging Local BD FD CL P					Sold	07/13/11	J	A	
77. - Pimco Global Multi Asset FD					Sold (part)	07/13/11	J	A	
78. - Templeton Income TR Global Total Return FD					Buy (add'l)	07/15/11	J		
79. - Vanguard Inflation Protected Securities Fund					Sold (part)	07/14/11	K	A	
80.					Buy (add'l)	07/15/11	J		
81. - Gabelli Gold Natural Resources					Sold	06/15/11	K		
82. - Fairholme Funds Inc Focused Income Fund					Buy	01/04/11	K		
83.					Buy (add'l)	07/15/11	J		
84. - Federated Strategic Value Dividend Fund					Buy	07/15/11	K		
85. - Natixis FDS TR 1 Oakmark Intl FD					Buy	07/15/11	J		

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86. - Nuveen Invt Trust Tradewinds Value Opptys FD					Buy	07/15/11	J		
87. - Pimco All Asset Fund Inst CL					Buy	07/15/11	J		
88. - Federated Prudent Dollarbear FD					Buy	07/15/11	J		
89. - Nuveen Tradewinds Global All-Cap FD Instl Shs Class					Buy	01/04/11	J		
90. IRA Account #2	F	Int./Div.	P1	T					
91. - Dominion Res Inc VA New					Distributed	06/16/11	L		
92. - Centerpoint Energy Inc					Distributed	06/16/11	K		
93. - Fairholme Fund					Sold (part)	07/13/11	M	F	
94. - Devon Energy Corp New					Distributed	06/16/11	K		
95. - Exxon Mobil Corp					Distributed	06/16/11	K		
96. - Dodge & Cox Global Stock Fund					Sold	01/28/11	M	A	
97. - Harris Assoc Invt TR Oakmark Equity & Income Fund					Buy (add'l)	07/15/11	K		
98. - Market Vector Gold Miners GDX					Distributed	06/06/11	L		
99. - WHV International Equity FD CL					Sold (part)	07/13/11	L	E	
100. - Vanguard Inflation Protected Securities FD					Sold	07/13/11	M	D	
101. - Intel Corp Intc					Distributed	06/16/11	K		
102. - Fairholme Funds Inc Focused Income Fund					Buy (add'l)	01/24/11	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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103.					Buy (add'l)	07/15/11	L		
104. - JP Morgan TR Strategic Income Oppty SEL CL					Sold (part)	07/13/11	K		
105.					Buy (add'l)	07/15/11	K		
106.					Sold (part)	09/15/11	J		
107. - Loomis Sayles FDS I Bond Fund Retail Class					Buy (add'l)	01/24/11	J		
108.					Sold	05/05/11	M		
109. - Matthews Intl FD Asian Growth & Income FD					Buy (add'l)	01/24/11	J		
110.					Buy (add'l)	01/25/11	J		
111. - Nuveen Tradewinds Global All Cap FD Instl Sh					Buy (add'l)	01/24/11	M		
112.					Buy (add'l)	01/25/11	J		
113.					Sold (part)	07/13/11	M	C	
114. - Pimco FDS Emerging Local BD FD					Buy (add'l)	01/24/11	K		
115.					Sold (part)	07/13/11	K	B	
116. - Pimco Global Multi Asset FD					Buy (add'l)	01/25/11	M		
117.					Sold (part)	07/13/11	M	B	
118. - Templeton Income TR Global Total Return FD					Buy (add'l)	07/15/11	K		
119.					Sold (part)	09/15/11	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 \$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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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. - Gabelli Gold Natural Resources					Distributed	06/16/11	K		
121. - Dodge & Cox Intl Stock FD					Buy	01/25/11	J		
122.					Buy (add'l)	07/15/11	L		
123.					Buy	07/15/11	L		
124. -Fairholme Funds Inc Allocation FD					Buy	07/15/11	L		
125. - Federated Strategic Value Dividend FD					Buy	07/15/11	M		
126. - Federated Prudent Dollarbear FD					Buy	07/15/11	L		
127. - Harris Assoc Invt TR Oakmark Global Select FD					Buy	01/31/11	L		
128.					Sold (part)	07/13/11	K		
129. - Loomis Sayles Invt TR Bond Class I					Buy	05/06/11	M		
130.					Buy	07/15/11	L		
131. - Natixisfds TR I Oakmark Intl FD					Buy	07/15/11	L		
132. - Nuveen Invt Trust Tradewinds Value Oppty					Buy	07/15/11	L		
133. - Pimco Unconstrained BD FD CL Institutional Funds					Buy	01/4/11	M		
134.					Buy (add'l)	01/24/11	J		
135.					Buy (add'l)	07/15/11	L		
136. - Pimco All Asset Fnd Inst CL					Buy	07/15/11	L		

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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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. Trust Account #12	D	Int./Div.	N	T					
138. - Fairholme Fund					Sold (part)	07/13/11	J	C	
139.					Sold (part)	09/13/11	J		
140.					Sold (part)	12/28/11	K		
141. - CGM Focus Fund					Sold (part)	01/10/11	K	A	
142.					Sold	07/14/11	J		
143. - Cisco Systems Inc					Distributed	06/16/11	J		
144. - Johnson & Johnson					Distributed	06/16/11	J		
145. - Cadence Design Systems Inc					Donated (part)				
146.					Sold (part)	03/30/11	K	D	
147.					Sold	04/06/11	J	A	
148. - Microsoft Corp					Distributed	06/16/11	L		
149. - Oracle Corp					Sold (part)	06/15/11	J	C	
150.					Sold (part)	07/13/11	J	A	
151.					Sold (part)	09/13/11	J	B	
152. - Range Resources Corp					Distributed	06/16/11	K		
153. - Harris Assoc INVT TR Oakmark Global Seletet FD					Buy (add'l)	01/31/11	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.					Sold (part)	07/13/11	J	B	
155.					Sold (part)	09/13/11	J	A	
156.					Sold (part)	12/19/11	J		
157. - Harris Assoc INVT TR Oakmark Equity & Income FD					Sold	07/13/11	L	E	
158. - WHV International Equity FD									
159. - Oppenheimer Limited Term Municipal Fund Class A					Sold (part)	07/13/11	L		
160.					Sold (part)	09/13/11	K		
161. - Matthews Intl FD Asian Growth & Income FD					Buy (add'l)	07/15/11	K		
162.					Sold (part)	09/13/11	J		
163.					Sold (part)	12/28/11	J		
164. - Nuveen All American Municipal BD FD					Sold (part)	04/05/11	K		
165.					Buy (add'l)	07/15/11	K		
166.					Sold (part)	09/13/11	K	A	
167. - Nuveen Tradewinds Global All-Cap FD Instl Sh					Sold (part)	07/13/11	K	A	
168.					Sold (part)	09/13/11	J		
169.					Sold (part)	12/28/11	J		
170. - Vanguard Municipal Bond Fund High Yield Port					Sold	04/06/11	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 \$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. - Fairholme Funds Inc Allocation Fund					Buy	03/04/11	K		
172.					Buy (add'l)	04/05/11	L		
173.					Sold	07/13/11	M		
174. -Federated Strategic Value Dividend Fund Instl					Buy	07/15/11	J		
175.					Sold (part)	09/13/11	J		
176. -Franklin Funds High Yield Tax-Free Inc Fund					Buy	07/15/11	K		
177.					Sold (part)	09/13/11	K	A	
178. - Natixis FDS TR I Oakmark Intl FD CL A					Buy	07/15/11	J		
179.					Sold (part)	09/13/11	J		
180.					Sold	12/19/11	J		
181. - Nuveen Invt Trust Tradewinds Value Oppty Fund					Buy	07/15/11	J		
182.					Sold (part)	09/13/11	J		
183.					Sold (part)	12/28/11	J		
184. - Pimco All Asset Fnd Inst CL					Buy	07/15/11	J		
185.					Sold (part)	09/13/11	J		
186. - Pimco Global Multi-Asset FND					Buy	07/18/11	J		
187.					Sold (part)	09/13/11	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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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)
188. - Thornburg Invt TR Income Builder FD					Buy	07/15/11	K		
189.					Sold (part)	09/13/11	J		
190. Springside, LLC (2000 - \$300,000)		None	P1	W					
191. Middletown Professional Properties, LLC, (2004 - \$80,925)	E	Rent	O	W					
192. Trust #14	E	Int./Div.	P1	T					
193. - Du Page Cook & Will Cntys IL Bond									
194. - Rhode Island St Economic DV Corp RV Grant									
195. - Oklahoma Cnty Ok Indpt Sch Dist No 89									
196. - Milwaukee WI Corp Purp B1 G/O Unltd									
197. - University TX Univ Revs Rfdg Fing Sys									
198. - Gwinnett Cnty GA Sch Dist G/O									
199. - Tennessee ST Ser A G/O									
200. - Maryland St St & Loc FACS LN 2nd Ser G/O									
201. - Cherokee Cnty GA Sch Sys G/O									
202. - Illinois St Toll Hwy Auth Rev SR Priority									
203. - New York St Environmental Facs Corp St					Sold	04/15/11	K		
204. - Arizona Brd Regents Univ AZ Sys Rev Ser 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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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)
205. - University IL Revs Rfdg Auxiliary Facs Sys					Buy	12/14/11	M		
206. - Washington ST Ser A G/O Unl TD					Buy	04/19/11	K		
207. - Las Vegas Wly NV Wtr Dist Rfdg Ser a					Buy	04/19/11	L		
208. - Utah ST Ser C G/O B/E CPN					Buy	04/19/11	L		
209. - Indiana ST Fin Auth Rev Rfdg ST					Buy	04/19/11	L		
210. - Connecticut ST HSG Fin Auth					Buy	10/19/11	L		
211. - Metro Atlanta Rapid Tran Rev Ref					Buy	10/20/11	M		
212. - Massachusetts St Sch Bldg Auth Dedicated Sales Tax					Buy	10/28/11	M		
213. - Sprint TX Indpt Sch Dist Ref Schoolhouse Ser A					Buy	04/19/11	K		
214. - Lower Co Riv Auth TX Transmission Contract RV					Buy	11/10/11	M		
215. - Dallas TX Area Rapid Tran Sales Tax Rev					Buy	11/21/11	L		
216. - Missouri St Hwys & Transn Commn ST RD Rev					Buy	11/04/11	L		
217. - Poway CA Uni Sch Dist Rfdg Sch Facs Impt Dist					Buy	10/19/11	M		
218. - University WA Univ Revs Rfdg Gen Ser A B/E					Buy	09/28/11	J		
219. Trust #15	B	Dividend	M	T					
220. - Cisco Systems Inc					Open	06/16/11	J		
221. - Duke Energy Corp					Open	06/16/11	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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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)

222. - Johnson & Johnson					Open	06/16/11	J		
223. - Microsoft Corp					Open	06/16/11	L		
224. - Oracle Corporation					Open	06/16/11	J		
225. - Range Resources Corp					Open	06/16/11	K		
226. - Sandridge Energy Inc					Buy	10/13/11	J		
227. - The Southern Company					Open	06/16/11	J		
228. IRA #3	D	Int./Div.	N	T					
229. - Centerpoint Energy Inc					Open	06/16/11	K		
230. - Devon Energy Corp					Open	06/16/11	K		
231. - Dominion Res Inc VA					Open	06/16/11	L		
232. - Exxon Mobil Corp					Open	06/16/11	K		
233. - Intel Corp					Open	06/16/11	K		
234. - Market Vector Gold Miners					Open	06/16/11	L		
235. - Supervalu Inc					Buy	09/15/11	J		
236. - Unified Ser TR Appleseed FD					Buy	08/26/11	J		
237. - Brown Cap Mgmt Mut FDS Small Co Fund Inv					Buy	09/15/11	J		
238. - Gamco Gbl Gold Natural Resources & Income TR by Gabelli					Open	06/16/11	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	
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Asset listed in Part VII, Line 191, has rental income from property located in Middletown, DE. This asset was purchased in 2004 for \$80,925.

Assets listed in Part VII, Lines 15, 16, & 17 were transferred to Trust #15, lines 221, 223, & 227.

Assets listed in Part VII, Lines 143, 144, 148, 149, & 152 were transferred to Trust #15, lines 220, 222, 223, 224, & 225.

Assets listed in Part VII, Lines 91, 92, 94, 95, 98, 101, & 120 were transferred to IRA #3, lines 229, 230, 231, 232, 233, 234, & 238.

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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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