

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/10/2021
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 01/01/2020 to 12/31/2020
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.		
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.				
2.				
3.				
4.				
5.				

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

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

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

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 190)	P1
2. TD, Bank N.A.	Limited guaranty of commercial loan to Springside, LLC (Part VII, Line 190)	P1
3. TD, Bank N.A.	Limited guaranty 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)	(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)
1. M&T Bank Account		None	K	T					
2. M&T Bank Account		None	J	T					
3. Trust Account #6 (H)									
4. - Wells Fargo Bank, N.A. Bank Deposit Sweep		None			Closed	07/28/20	J		
5. IRA Account #2 (H)									
6. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
7. - Fairholme Fund		None			Sold	04/30/20	M		
8. - Dodge & Cox Intl Stock FD	A	Dividend	L	T					
9. - Federated Strategic Value Dividend FD		None			Sold	06/22/20	L		
10. - Natixis FDS TR I Oakmark Intl FD	A	Dividend	L	T					
11. - Brandes Invt TR Instl Emerging Mkts FD		None			Sold	04/15/20	K		
12. - Matthews Asia Dividend FD	A	Dividend	K	T					
13. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	L	T					
14. - Primecap Odyssey Growth	C	Dividend	K	T	Buy (add'l)	05/01/20	J		
15. - Virtus Emerging Markets Opportunities Fund		None			Sold	04/15/20	K		
16. - Dodge & Cox Stock FD	D	Dividend	L	T					
17. - Dodge & Cox Income FD	E	Dividend	N	T	Sold (part)	03/25/20	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.					Sold (part)	03/27/20	J		
19. - Doubleline FDS TR Total Return BD FD	C	Dividend			Sold	12/07/20	M		
20. - Harris Assoc Invt TR Oakmark Global Select FD	A	Dividend	M	T					
21. - Federated Equity FDS Intl Strategic Value Div FD	A	Dividend			Sold	06/22/20	K		
22. - Saratoga Advantage TR James Alpha Gbl Real Estate Invst	B	Dividend			Sold	05/20/20	L		
23. - T Rowe Price New Era Fund	B	Dividend	K	T					
24. - Invesco Oppenheimer Steelpath MLP Select 40 Fund	B	Dividend	K	T					
25. - Artisan Partners FDS Inc Global Value FD Adv	A	Dividend	L	T					
26. - Guggenheim FDS TR Macro Opportunities FD Instl CL	D	Dividend	N	T	Buy (add'l)	04/15/20	L		
27.					Sold (part)	06/12/20	K		
28.					Sold (part)	09/16/20	K		
29. - Kinetics MUT FDS INC Paradigm Fund Instl CL	A	Dividend			Sold	10/29/20	J	A	
30. - Kinetics MUT FDS Inc Small Cap Opportunities FD Instl CL		None	J	T					
31. - Pimco Low Duration Income Fund	D	Dividend	N	T	Sold (part)	04/01/20	L		
32.					Sold (part)	04/08/20	K		
33.					Sold (part)	04/17/20	J		
34.					Sold (part)	04/24/20	K		

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35.					Sold (part)	06/08/20	K		
36.					Buy (add'l)	09/14/20	M		
37. - Trust for Advised port Miller Opportunity TR		None			Sold	06/22/20	K	C	
38. - Artisan Intl Small Cap Fund Investor Series	A	Dividend	L	T	Buy (add'l)	06/22/20	K		
39. - Brown Cap Mgmt Small Co FD Instl CL	B	Dividend	K	T					
40. - Devon Energy Corp	A	Dividend			Sold	03/23/20	J		
41. - Exxon Mobil Corp	C	Dividend	K	T	Buy (add'l)	09/25/20	K		
42. - Oakmark International Small Cap FD Advisor CL	A	Dividend	L	T					
43. - Knot Offshore Partners LP	C	Dividend			Sold	04/09/20	L		
44. - Mowi Asa Spon ADR	A	Dividend	K	T					
45. - Matthews Intl FD Asian Growth & Income FD					Sold (part)	04/15/20	K		
46.					Sold	05/01/20	K		
47. - Miller Invt Trust Convertible BD FD	A	Dividend			Sold	06/16/20	M	C	
48. - Professionally Managed Portfolio CL Instl Hodges Small Cap		None			Sold	06/22/20	J		
49. - Sunoco LP	D	Distribution			Sold	09/25/20	L		
50. - Vanguard Specialized Energy FD Admiral Shares	A	Dividend	J	T					
51. - Crossamerica Partners LP	A	Distribution			Sold	03/23/20	J		

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52. - Enbridge Inc	C	Dividend	L	T					
53. - Golar LNG LTD		None	J	T					
54. - Hoegh LNG Partners LP	C	Dividend	K	T					
55. - Alger Funds Small Cap Focus FD		None			Buy (add'l)	04/15/20	K		
56.					Sold	05/01/20	K	C	
57. - Matthews Asia Funds Innovators Fund Investor CL IV		None	L	T	Buy (add'l)	06/22/20	K		
58. - Invesco Oppenheimer Emerging Markets Local Debt Fund		None			Sold	04/15/20	L		
59. - Vanguard World FD Intl Growth FD	A	Dividend	K	T	Buy (add'l)	08/19/20	J		
60. - Wasatch Advisors FDS Core Growth FD	B	Dividend	K	T	Buy (add'l)	06/23/20	J		
61. - Alger Growth Small Cap Focus FD		None	L	T	Buy (add'l)	05/01/20	K		
62. - Artisan Partners FDS Inc Mid Cap FD	D	Dividend	M	T	Buy (add'l)	06/22/20	K		
63. - Ashmore FDS Emerging Mkts Corp Debt FD	B	Dividend			Sold	04/15/20	L		
64. - Goldman Sachs Funds GQG Ptrns Int Opptys FD	A	Dividend	L	T	Buy (add'l)	05/12/20	K		
65.					Sold (part)	08/31/20	K	D	
66. - Hannon Armstrong Sustainable Infrastructure Capital Inc	B	Dividend	L	T					
67. - Nokia Corp Sponsored ADR		None			Sold	05/20/20	J		
68. - Polen Growth Fund Institutional Class	A	Dividend	L	T	Buy (add'l)	05/18/20	K		

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69.					Buy (add'l)	06/22/20	K		
70. - Tex PAC Land TR Sub SH CTF Proprietary Unit	A	Dividend	K	T	Buy (add'l)	09/14/20	J		
71. - Vanguard Index TR Mid Cap Index FD	A	Dividend			Sold	07/17/20	J	A	
72. - ARK ETF TR Genomic Revolution Multi Sector	A	Dividend	L	T	Buy	04/08/20	K		
73.					Buy (add'l)	04/09/20	J		
74.					Buy (add'l)	08/14/20	J		
75. - Brookfield Infrastructure Corp Com Sub VTG Shs CL A	A	Dividend	K	T	Buy	04/01/20	J		
76. - Chevron Corporation CVX	A	Dividend	K	T	Buy	10/29/20	K		
77. - Dominion Energy Inc	A	Dividend	K	T	Buy	03/24/20	J		
78.					Buy (add'l)	04/24/20	J		
79. - Energy Transfer LP IT	B	Dividend	L	T	Buy	04/15/20	K		
80. - Enterprise Products Partners EPD	D	Dividend	L	T	Buy	04/09/20	L		
81. - Etsy Inc		None	L	T	Buy	10/22/20	J		
82.					Buy (add'l)	10/29/20	J		
83.					Buy (add'l)	11/02/20	J		
84.					Buy (add'l)	11/10/20	J		
85.					Buy (add'l)	11/11/20	J		

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86. - Invesco QQQ TR Unit Ser 1	A	Dividend	K	T	Buy	03/24/20	K		
87. - Mercadolibre Inc		None	L	T	Buy	05/22/20	K		
88. - Microsoft Corp	A	Dividend	K	T	Buy	03/18/20	J		
89.					Buy (add'l)	04/24/20	J		
90. - Square Inc A		None	M	T	Buy	05/20/20	K		
91.					Buy (add'l)	05/22/20	K		
92. - Walker & Dunlop Inc	A	Dividend	K	T	Buy	03/31/20	J		
93. - WSFS Financial Corp	A	Dividend	L	T	Buy	03/25/20	J		
94.					Buy (add'l)	04/30/20	K		
95. - Blackrock Funds Technology Opportunities Fund Inst CL	D	Dividend	M	T	Buy	04/15/20	K		
96.					Buy (add'l)	06/08/20	K		
97. - Carillon Ser TR Reams Cor BD FD CL 1	C	Dividend	M	T	Buy	12/08/20	M		
98. - Morgan Stanley Instl FD Cap Growth Port CL 1	D	Dividend	M	T	Buy	05/18/20	K		
99.					Buy (add'l)	05/26/20	J		
100.					Buy (add'l)	06/22/20	K		
101. - Morgan Stanley Instl Inc Global Oppty Port Class Instl	A	Dividend	K	T	Buy	04/01/20	J		
102.					Buy (add'l)	06/22/20	K		

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103. - FPA FDS TR FPA Crescent Portfolio Instl CL	B	Dividend	K	T	Buy	04/01/20	K		
104. - Wasatch Funds Small Cap Growth Fund Institutional Class SH	A	Dividend	J	T	Buy	07/13/20	J		
105. - Artisan Funds Developing World Fund Advisor Class Shares	B	Dividend	K	T	Buy	09/01/20	K		
106. - Vanguard Health Care Fund Admiral Shares	C	Dividend	L	T	Buy	04/20/20	K		
107. - Vanguard Wellesley Income FD Admiral Share	B	Dividend	K	T	Buy	05/19/20	K		
108. - Howard Hughes Corp		None			Buy	03/31/20	J		
109.					Sold	07/17/20	J		
110. - Starbucks		None			Buy	06/12/20	K		
111.					Sold	07/17/20	K		
112. - Vanguard Index FDS ETF S&P 500 ETF Shs	A	Dividend			Buy	03/24/20	K		
113.					Sold	07/17/20	K	D	
114. -Vaneck Vectors ETF Trerf Gold Miners ETF		None			Buy	09/16/20	K		
115.					Sold	10/29/20	K		
116. Trust Account #12 (H)									
117. - Dodge & Cox Intl Stock FD	A	Dividend	K	T					
118. - Matthews Asia Dividend FD	A	Dividend	K	T	Buy (add'l)	05/01/20	J		
119. - Primecap Odyssey FDS Aggressive Growth FD	C	Dividend	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/10/2021

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. - Dodge & Cox Stock Fund	C	Dividend	L	T					
121. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
122. - Saratoga Advantage TR James Alpha Gbl Real Estate	A	Dividend			Sold (part)	01/06/20	J		
123.					Sold	05/20/20	J		
124. - Pimco Multi-MGR Short Duration Muni Inc Fund Inst CL	A	Dividend	K	T	Buy (add'l)	01/02/20	J		
125.					Sold (part)	01/16/20	J		
126.					Sold (part)	01/28/20	J		
127.					Buy (add'l)	02/05/20	J		
128.					Buy (add'l)	03/05/20	J		
129.					Sold (part)	07/13/20	J	A	
130.					Buy (add'l)	09/14/20	L		
131.					Sold (part)	09/17/20	J	A	
132.					Buy (add'l)	10/05/20	K		
133.					Sold (part)	10/09/20	J		
134.					Sold (part)	10/21/20	J		
135.					Sold (part)	10/23/20	J		
136.					Sold (part)	11/19/20	K	A	

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

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Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/10/2021

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. - American Funds Developing World Growth & Income FD	A	Dividend			Sold	04/15/20	J		
138. - Oakmark Global Select Fund Advisor Class	A	Dividend	K	T					
139. - Oakmark International Small Cap FD Advisor CL		None			Sold (part)	01/06/20	J		
140.					Sold	07/20/20	K		
141. - Matthews Intl FD Asain Growth & Income FD		None			Sold	01/06/20	J		
142. - Nuveen Muni TR High Yield Mun BD FD	B	Dividend			Sold (part)	01/06/20	J		
143.					Sold (part)	06/23/20	J	A	
144.					Sold (part)	07/10/20	J		
145.					Sold	07/20/20	L		
146. - Virtus Funds Vontobel Emerging Mkts Opportunities FD		None			Sold	04/15/20	J		
147. - Valaris Plc		None			Sold	03/23/20	J		
148. -Brown Cap Mgmt Mut FDS Brown Cap Mgmt Small Co FD	A	Dividend	J	T					
149. - BHP Billiton LTF Spon Adr	A	Dividend			Sold	10/01/20	K	B	
150. - Enbridge Inc	B	Dividend	K	T					
151. - Enterprise Products Partners	C	Distribution	K	T					
152. - Energy Trnsfer Partners	C	Distribution	K	T					
153. - Johnson & Johnson	A	Dividend	K	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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Name of Person Reporting

Ambro, Thomas L.

Date of Report

05/10/2021

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. - Medley Capital Corp		None			Sold	01/10/20	J		
155. - Microsoft Corp	A	Dividend	L	T					
156. - Natixis Fund Trust II Vaughan Nelson Value Class Y	A	Dividend			Sold	07/07/20	J		
157. - Rio Tinto Plc Spon Adr	B	Dividend	K	T					
158. - South32 LTD Spon	A	Dividend			Sold	07/20/20	J		
159. - USA Compression Partners LP Com	B	Distribution			Sold	10/01/20	J		
160. - Vanguard Funds Dividend Growth Fund Investor Class	A	Dividend	K	T					
161. - Vanguard Sprcialized Portfolios Energy Port Investor Class	B	Dividend	K	T	Sold (part)	10/09/20	J		
162. - WSFS Financial Corp	A	Dividend			Buy (add'l)	04/27/20	J		
163.					Buy (add'l)	04/30/20	J		
164.					Sold	07/20/20	K		
165. - Mainstay CBRE Global Infrastructure Fund Class 1	A	Dividend	K	T					
166. - Invesco Oppenheimer Steelpath MLP Alpha Fund	C	Dividend	K	T	Buy (add'l)	01/10/20	K		
167. - Goldman Sachs Fund GQG Ptnrs Intl Opptys FD	A	Dividend	K	T	Buy (add'l)	05/12/20	J		
168. - Core Laboratories Inc		None	K	T	Buy	10/23/20	J		
169. - Dominion Energy Inc	A	Dividend	J	T	Buy	07/08/20	J		
170. - Etsy Inc		None	K	T	Buy	09/17/20	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		

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)
171. - Magellan Midstream Prtns MMP		None	K	T	Buy	11/19/20	K		
172. - Alger Growth Small Cap Focus FD		None	K	T	Buy	06/05/20	J		
173.					Buy (add'l)	07/06/20	J		
174.					Buy (add'l)	08/05/20	J		
175.					Buy (add'l)	09/08/20	J		
176.					Buy (add'l)	10/05/20	J		
177.					Buy (add'l)	11/05/20	J		
178.					Buy (add'l)	12/07/20	J		
179. - Morgan Stanley Instl FD Inc Cap Growth Port CL 1	B	Dividend	K	T	Buy	06/05/20	J		
180.					Buy (add'l)	07/06/20	J		
181.					Buy (add'l)	08/05/20	J		
182.					Buy (add'l)	09/08/20	J		
183.					Buy (add'l)	10/05/20	J		
184.					Buy (add'l)	11/05/20	J		
185.					Buy (add'l)	12/07/20	J		
186. - Morgan Stanley Insight Fund Class 1	A	Dividend	J	T	Buy	10/01/20	J		
187.					Buy (add'l)	10/12/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
188. - Fastly Inc CL A		None			Buy	10/21/20	J		
189.					Sold	10/29/20	J		
190. Springside, LLC (2000 - \$300,000, 2012-\$20,123)	F	Rent	P1	W					
191. Trust #16 (H)									
192. - Apollo Investment Corp		None			Sold	01/09/20	J		
193. - Medley Capital Corp		None			Sold	01/09/20	K		
194. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest			Closed	07/28/20	J		
195. - Golub Cap BDC Inc	B	Dividend			Sold	05/26/20	L		
196. - Sixth STR Speciality Lending Inc	C	Dividend			Sold	07/20/20	K		
197. - M&T Bank	A	Dividend			Buy	05/26/20	L		
198.					Sold	07/20/20	L		
199. PCM Family LLC		None	M	W					
200. The Sequoia Fund	E	Dividend	M	T	Buy (add'l)	01/02/20	J		
201.					Buy (add'l)	02/03/20	J		
202.					Buy (add'l)	03/02/20	J		
203.					Buy (add'l)	03/30/20	J		
204.					Buy (add'l)	04/01/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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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.)

☐ 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)
205.					Buy (add'l)	05/01/20	J		
206.					Buy (add'l)	06/01/20	J		
207.					Buy (add'l)	07/01/20	J		
208.					Buy (add'l)	08/03/20	J		
209.					Buy (add'l)	09/01/20	J		
210.					Buy (add'l)	10/01/20	J		
211.					Buy (add'l)	11/02/20	J		
212.					Buy (add'l)	12/01/20	J		
213. Trust #18 (H)									
214. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
215. - West Wilson Util Dist TN WTR WKS Rev	C	Interest	K	T					
216. - Montana ST BRD Regents High Ed Rev	B	Interest	K	T					
217. - Ocean Cnty NJ RFDG SER A G/O Unl TD	B	Interest	L	T					
218. - Metropolitan Transn Auth NY Rev	C	Interest	L	T					
219. - New Mexico Fin Auth Rev SR Lien Pub Proj Rvlvng FD Ser C	C	Interest	L	T					
220. - New York ST Envmtl Facs Corp Rev ST Ser D	B	Interest	L	T					
221. - Central Puget Sound WA Regl Tran Auth Sales & Use Tax Rev	C	Interest	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

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P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

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B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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. - New York ST Dorm Uth Revs Non ST Supported Debt CPN	B	Interest	L	T					
223. - USF Fing Corp FL CTF Partn Rfdg Mstr Lse PG Ser	B	Interest	L	T					
224. - Hawaii St Unrefunded Balance Rfdg Ser Ed	A	Interest			Sold	01/24/20	J	A	
225. - Harris Cnty TX Cultural Ed Facs Fin Corp Med FA CS Rev	A	Interest	K	T					
226. - Salt Riv Proj Agric Impt & PWR Dist AZ Elec SY S Rev BD	C	Interest	L	T					
227. - Huntsville AL GO WTS 2018 A G/O	A	Interest	K	T					
228. - Jefferson Cnty Co Sch Dist R G/O	B	Interest	L	T					
229. - York County PA GO RFDG BDS 2017 G/O	C	Interest	L	T					
230. - Westfield IN High Sch 1995 Building Corp Unltd	B	Interest	L	T					
231. - Clark Cnty VN Arpt Rev SYS BDS McCarran Intl		None	L	T					
232. - New Jersey St Trans TR FD Auth Trans Ser B	B	Interest	K	T	Buy	04/08/20	K		
233. - Port Auth NY & NJ Cons BDS		None	K	T	Buy	10/16/20	K		
234. - Viridian Mun Mgmt Dist TX Unl TD Tax Util Impt BDS		None	K	T	Buy	10/16/20	K		
235. Trust #19 (H)									
236. - Wells Fargo Bank, N.A. Bank Deposit Sweep	A	Interest	J	T					
237. - iShares Core S&P 500 Index FD	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
238.					Buy (add'l)	04/01/20	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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Name of Person Reporting

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.)

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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)
239. - Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
240.					Buy (add'l)	04/01/20	J		
241. - Vanguard INTL Equity Index FDS FTSE Emerging MKTS	A	Dividend			Buy (add'l)	01/09/20	J		
242.					Sold (part)	04/01/20	K		
243.					Sold	07/21/20	J	A	
244. - Goldman Sachs ETF US Large Cap	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
245. - Invesco TR II ETF Emerging Mkts Sovereign Debt	A	Dividend			Buy (add'l)	01/09/20	J		
246.					Sold	10/01/20	J		
247. - iShares Russell 2000 ETF	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
248.					Buy (add'l)	07/21/20	J		
249. - iShares Core S&P Mid ETF	A	Dividend	K	T	Sold (part)	01/02/20	J	A	
250.					Buy (add'l)	01/09/20	J		
251.					Sold (part)	10/01/20	J	A	
252. - iShares Core US Aggregate Bond ETF	B	Dividend	L	T	Buy (add'l)	01/02/20	J		
253.					Buy (add'l)	01/09/20	J		
254.					Sold (part)	04/01/20	J	A	
255.					Sold (part)	07/21/20	J	A	

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

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Name of Person Reporting

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)	(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)
256.					Buy (add'l)	10/01/20	J		
257. - iShares Edge MSCI Min Vol USA ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
258.					Sold (part)	07/21/20	J		
259. - iShares iBoxx High Yield Corp Bond ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
260. - iShares Inc Core MSCI Emerging Mkts ETF	A	Dividend	J	T	Buy	01/09/20	J		
261.					Sold (part)	07/21/20	J	A	
262. - iShares JP Morgan USD Emerging Markets Bond ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
263. - iShares MBS ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
264.					Sold (part)	04/01/20	J	A	
265. - Sector SPDR TR Technology Select Sector ETF	A	Dividend	K	T	Buy (add'l)	01/09/20	J		
266. - Select Sector SPDR TR Financial TR	A	Dividend			Buy (add'l)	01/09/20	J		
267.					Sold	04/01/20	J		
268. - Select Sector SPDR Consumer Discretionary ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
269. - Vanguard Intermediate Term Corp Bond ETF	A	Dividend	J	T	Buy (add'l)	01/09/20	J		
270.					Sold (part)	04/01/20	J		
271. - Vanguard Short Term Corp BD ETF					Sold	01/02/20	J		
272. - Xtrackers USD High Yield Corporate Bond ETF	A	Dividend	K	T	Buy (add'l)	01/09/20	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)	(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.					Buy (add'l)	07/21/20	J		
274.					Buy (add'l)	10/01/20	J		
275. - Select Sector SPDR ETF Cmmunication SVCS	A	Dividend	J	T	Buy	04/01/20	J		
276. - Vanguard Health Care ETF	A	Dividend	J	T	Buy	07/21/20	J		
277. - Vanguard Mid Cap ETF	A	Dividend	K	T	Buy	01/02/20	J		
278.					Buy (add'l)	01/09/20	J		
279.					Buy (add'l)	04/01/20	J		
280.					Buy (add'l)	07/21/20	J		
281. IRA #6 (H)									
282. - Eaton Vance Mutual FDS Trust Global Macro Abslt Return Advtg FD	A	Dividend	J	T					
283. - MFS Ser TR I Value FD	A	Dividend	K	T					
284. - MFS Ser TR X Emerging Mkts Debt FD CL I	A	Dividend	K	T					
285. - American Europacific Growth FU CL F2	B	Dividend	K	T					
286. - Invesco Oppenheimer Dev Mkts CL Y	A	Dividend	K	T					
287. - Principal FDS Inc High Yield FD Instl CL	B	Dividend	K	T	Buy (add'l)	03/05/20	J		
288. - Wells Fargo Funds TR Special Mid Cap Value FD CL I	A	Dividend	K	T					
289. - Baird FDS Inc Aggregate BD FD Instl SHS	A	Dividend	K	T					

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	
3 Value Method Codes (See Column C2)					

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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)
290. - Fidelity 500 Index Fund	A	Dividend	K	T					
291. - Goldman Sachs TR Finl Square Treas Instrs FD	A	Dividend	J	T	Sold (part)	01/10/20	J		
292.					Sold (part)	04/09/20	J		
293.					Sold (part)	07/10/20	J		
294. - Harbor Fund Small Cap Value FD Instl	A	Dividend	K	T					
295. - Harbor FD Cap Appreciation FD Instl		None			Sold	03/05/20	K	A	
296. - Meridian FD Inc Small Cap Growth FD Investor	B	Dividend	K	T					
297. - Metropolitan West FDS Total Return BD FD	C	Dividend	L	T					
298. - JP Morgan Funds Intrepid Value Fund I		None			Sold	03/05/20	K		
299. - Principal FDS Inc Midcap Fund Instl Class	B	Dividend	K	T					
300. - Blackrock Core Bond Portfolio Institutional Class	B	Dividend	K	T					
301. - Abbey Capital Futures Strategy Fund Class	A	Dividend	J	T	Buy (add'l)	03/05/20	J		
302. - Diamond Hill FDS Large Cap FD CL 1	A	Dividend	K	T	Buy	03/05/20	K		
303. - Mainstay Winslow Large Cap Growth Fund	B	Dividend	K	T	Buy	03/05/20	K		
304. Roth IRA #1 (H)									
305. - Valaris PLC Class 1		None			Sold	03/23/20	J		
306. - Transocean LTD		None			Sold	03/23/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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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)	(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)
307. - Enbridge Inc	A	Dividend	J	T					
308. - ARK Autonomous ETF Technology & Robotics	A	Dividend	J	T	Buy	02/24/20	J		
309. - ARK ETF TR Genomic Revolution Multi Sector	A	Dividend	J	T	Buy	02/24/20	J		
310. Roth IRA #2 (H)									
311. - Exxon Mobil Corp	A	Dividend	J	T					
312. - Brown Advisory FDS Advisory Small Cap Growth FD	A	Dividend	J	T					
313. - Enbridge Inc	A	Dividend	J	T					
314. - Wells Fargo Bank, N.A.Bank Deposit Sweep	A	Interest	J	T					
315. - Center Coast Brookfield Midstream Focus Fund	A	Dividend	J	T	Buy	01/09/20	J		

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

Asset listed in Part VII, Line 190, has rental activity from property located near Newark, DE.

Asset listed in Part VII, Line 199, has rental activity from property located in New Castle County, DE.

Assets listed in Part VII, line 165 changed its name from Voya CBRE Global Infrastructure FD CL I to Mainstay CBRE Global Infrastructure Fund Class 1

Assets listed in Part VII, line 196 changed its name from TPG Specialty Lending Inc to Sixth STR Speciality Lending Inc

Assets listed in Part VII, lines 192-198, Trust #16, assets were sold. Remaining cash was transferred to Trust #12 and Trust #18. Assets purchased with cash were reported under Trust #12 and Trust #18.

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Name of Person Reporting

Ambro, Thomas L.

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