

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Hurwitz, Andrew	2. Court or Organization U.S. Court of Appeals, Ninth Circuit	3. Date of Report 10/03/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Court of Appeals Judge, Ninth Circuit	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 401 W. Washington Street Phoenix, AZ 85003		
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. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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. 2013	Arizona Elected Officials Retirement System; no control
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. 2013	Arizona Elected Officials Retirement System, pension	\$57,329.76
2. 2013	National Conference of Bar Examiners, stipends	\$7,000.00
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. 2013	Arizona State University, salary
2. 2013	Arizona State Retirement System, pension
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. National Conference of Bar Examiners	4/18/2013 - 4/21/2013	Santa Fe, N.M.	Review and drafting of bar examination questions	Transportation, lodging, meals
2. National Conference of Bar Examiners	10/17/2013 -10/21/2013	Charleston, S.C.	Review and drafting of bar examination questions	Transportation, lodging, meals
3. University of Miami Law School	10/21/2013-10/22/2013	Miami, FL	Teaching and moot court	Transportation, lodging, meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. U.S. Bank (Checking/Savings)	A	Interest	K	T					
2. Real Estate Limited Partnership [REDACTED] e [REDACTED] Avondale, AZ	A	Distribution	K	W					
3. (H) Trust #1 [REDACTED] "	E	Int./Div.	O	T					
4. -MORGAN STANLEY BANK N.A.									
5. -ALGER SPECTRA A					Buy	02/12/13	K		
6.					Buy (add'l)	09/13/13	J		
7. -ARTISAN GLOBAL VALUE INV					Buy	09/13/13	K		
8. -ARTISAN MIDCAP VALUE INV					Buy	09/13/13	K		
9. -BARON REAL ESTATE INST					Buy	09/13/13	J		
10. -BLSCKROCK MUNIYLD ARIZ FD INC					Sold (part)	02/12/13	J	A	
11.					Sold	09/13/13	J		
12. -CALVERT GLOBAL WATER A					Buy	09/13/13	J		
13. -CENTER COAST MLP FOCUS I					Sold	09/13/13	K	B	
14. -CENTRAL GOLDTRUST UNITS					Buy	09/13/13	J		
15. -CUSHING MLP PREMIER I					Buy	09/13/13	J		
16. -DIGITAL REALTY TRUST INC					Sold	09/13/13	J		
17. -DOUBLELINE TOTAL RETURN I					Sold (part)	02/12/13	K	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 H ~\$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	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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 I (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)

18.					Sold	09/13/13	J		
19. -FEDERATED STRAT VAL DIV INST					Buy (add'l)	02/12/13	J		
20.					Sold	09/13/13	K	C	
21. -FIRST EAGLE GLOBAL I					Buy	02/12/13	K		
22.					Sold (part)	09/13/13	J	A	
23. -FRANKLIN HI YIELD TX FR ADV					Sold	02/12/13	K	B	
24. -GATEWAY FUND Y					Buy	09/13/13	J		
25. -GUGGENHEIM DEFENSIVE EQUITY ET					Sold	02/12/13	J	A	
26. -GUGGENHEIM MID-CAP CORE ETF					Sold	02/12/13	J	B	
27. -GUGGENHEIM S&P 500 PURE GRW					Sold (part)	02/12/13	J	A	
28.					Sold	09/13/13	K	D	
29. -INVESCO BALANCED-RISK ALLOC Y					Buy	02/12/13	J		
30.					Sold	09/13/13	J		
31. -INVESCO SELECT COMPANIES Y					Buy	02/12/13	J		
32.					Sold	09/13/13	K	B	
33. -ISHARES FTSE NAREIT RESIDENT					Sold	02/12/13	K	C	
34. -ISHARES IBOXX INVEST GR COR FD					Sold	02/12/13	K	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

35. -LOOMIS SAYLES STRATEGIC INC Y					Buy	02/12/13	J		
36.					Sold	09/13/13	K	B	
37. -LORD ABBETT SHT DURATION INC F					Buy	09/13/13	K		
38. -MAINSTAY MARKETFIELD I					Buy	09/13/13	K		
39. -MATTHEW'S ASIAN GWTH & INC INV					Buy	02/12/13	J		
40.					Sold	09/13/13	J		
41. -METROPOLITAN WEST TOT RET BD I					Sold	02/12/13	K	A	
42.					Buy	09/13/13	K		
43. -MKT VECTORS MTGE REIT INC ETF					Sold	02/12/13	K	B	
44. -OAKMARK I					Buy	02/12/13	K		
45.					Sold	09/13/13	J	A	
46. -OAKMARK INTERNATL I					Buy	09/13/13	K		
47. -PIMCO ALL ASSET ALL AUTH P					Buy	02/12/13	K		
48.					Sold	09/13/13	K	A	
49. -PIMCO TOTAL RETURN P					Buy	02/12/13	J		
50.					Sold	09/13/13	K	A	
51. -PRUDENTIAL TOTAL RETURN BD Z					Sold	02/12/13	K	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
52. -PUTNAM DIVERSIFIED INC TR Y					Buy	02/12/13	K		
53.					Sold	09/13/13	K		
54. -SPDR BARCLAYS CAPITAL HIGH YIE					Sold	02/12/13	K	B	
55. -SPDR GOLD TR GOLD SH					Sold	09/13/13	J		
56. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/13/13	K		
57. -TCW EMERG MKTS INCOME I					Sold	09/13/13	K		
58. -TEMPLETON GLB TOTAL RETURN ADV					Buy	09/13/13	J		
59. -TEMPLETON GLOBAL BD FD ADV					Buy	02/12/13	K		
60.					Sold	09/13/13	K		
61. -THORNBURG DEVELOPING WORLD I					Buy	09/13/13	K		
62. -VIRTUS INSIGHT EMERG MKTS I					Sold (part)	02/12/13	J	A	
63.					Sold	09/13/13	K		
64. -WASATCH SM CAP GRW FD					Buy	09/13/13	K		
65. -WESTERN ASSET MANAGED MUNI I					Sold	02/12/13	K	B	
66. -WISDOMTREE EQUITY INCOME FUND					Buy	02/12/13	J		
67.					Sold	09/13/13	K	A	
68. "(H) TRUST #2 A [REDACTED] Opened "	D	Int./Div.	N	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	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
69. -MORGAN STANLEY BANK N.A.									
70. -ALGER SPECTRA A					Buy	02/12/13	K		
71.					Buy (add'l)	02/21/13	J		
72.					Sold (part)	09/13/13	J	A	
73. -ARTISAN GLOBAL VALUE INV					Buy	09/13/13	J		
74. -ARTISAN MIDCAP VALUE INV					Buy	09/13/13	J		
75. -BARON REAL ESTATE INST					Buy	09/13/13	J		
76. -BLSCKROCK MUNIYLD ARIZ FD INC					Sold (part)	02/12/13	J	A	
77.					Sold	09/13/13	J		
78. -CALVERT GLOBAL WATER A					Buy	09/13/13	J		
79. -CENTER COAST MLP FOCUS I					Sold	09/13/13	J	B	
80. -CENTRAL GOLDTRUST UNITS					Buy	09/13/13	J		
81. -CUSHING MLP PREMIER I					Buy	09/13/13	J		
82. -DIGITAL REALTY TRUST INC					Buy	02/12/13	J		
83.					Sold	09/13/13	J		
84. -DOUBLELINE TOTAL RETURN I					Sold (part)	02/12/13	J	A	
85.					Sold (part)	09/13/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

86. -FEDERATED STRAT VAL DIV INST					Buy	02/12/13	J		
87.					Buy (add'l)	02/21/13	J		
88.					Sold	09/13/13	K	C	
89. -FIRST EAGLE GLOBAL I					Buy	02/12/13	K		
90.					Buy (add'l)	02/21/13	J		
91.					Sold (part)	09/13/13	J	A	
92. -GATEWAY FUND Y					Buy	02/12/13	J		
93. -GUGGENHEIM DEFENSIVE EQUITY ET					Sold	02/12/13	J	A	
94. -GUGGENHEIM MID-CAP CORE ETF					Sold	09/13/13	J	B	
95. -GUGGENHEIM S&P 500 PURE GRW					Sold (part)	02/12/13	J	A	
96.					Sold	09/13/13	J	C	
97. -INVESCO BALANCED-RISK ALLOC Y					Buy	02/12/13	J		
98.					Sold	09/13/13	J		
99. -INVESCO SELECT COMPANIES Y					Buy	02/12/13	J		
100.					Sold	09/13/13	J	B	
101. -ISHARES FTSE NAREIT RESIDENT					Sold	02/12/13	J	B	
102. -ISHARES GOLD TRUST					Sold	09/13/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
103. -ISHARES IBOXX INVEST GR COR					Sold	02/12/13	K	A	
104. -LOOMIS SAYLES STRATEGIC INC Y					Sold (part)	02/12/13	J	A	
105.					Sold (part)	09/13/13	K	A	
106. -LORD ABBETT SHT DURATION INC F					Buy	09/13/13	K		
107. -MAINSTAY MARKETFIELD I					Buy	09/13/13	J		
108. -MATTHEWS ASIAN GWTH & INC INV					Buy	02/12/13	J		
109.					Sold	09/13/13	J		
110. -METROPOLITAN WEST TOT RET BD I					Sold	02/12/13	K	A	
111.					Buy	09/13/13	K		
112. -MKT VECTORS MTGE REIT INC ETF					Sold	02/12/13	J	A	
113. -OAKMARK I					Buy	02/12/13	K		
114.					Sold (part)	09/13/13	J	A	
115. -OAKMARK INTERNATL I					Buy	09/13/13	K		
116. -PIMCO ALL ASSET ALL AUTH P					Buy	02/12/13	K		
117.					Sold	09/13/13	J		
118. -PIMCO TOTAL RETURN P					Buy	02/12/13	J		
119.					Sold	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. -PRUDENTIAL TOTAL RETURN BD Z					Sold	02/12/13	K	A	
121. -PUTNAM DIVERSIFIED INC TR Y					Buy	02/12/13	K		
122.					Sold	09/13/13	K		
123. -SPDR BARCLAYS CAPITAL HIGH YIE					Sold	02/12/13	J	A	
124. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/13/13	K		
125. -TCW EMERG MKTS INCOME I					Sold	09/13/13	K		
126. -TEMPLETON GLB TOTAL RETURN ADV					Buy	09/13/13	J		
127. -TEMPLETON GLOBAL BD FD ADV					Buy	02/12/13	K		
128.					Sold	09/13/13	K		
129. -THORNBURG DEVELOPING WORLD I					Buy	09/13/13	K		
130. -WASATCH SM CAP GRW FD					Buy	09/13/13	K		
131. -VIRTUS INSIGHT EMERG MKTS I									
132. -WESTERN ASSET MANAGED MUNI I					Sold	02/12/13	J	A	
133. "(H) Trust #3 [REDACTED]"	E	Int./Div.	N	T					
134. -MORGAN STANLEY BANK N.A.									
135. -ABBOTT LABORATORIES					Sold	09/13/13	J	B	
136. -ABBVIE INC COM					Sold	02/12/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. -ALGER SPECTRA A					Buy (add'l)	02/12/13	J		
138.					Buy (add'l)	09/13/13	J		
139. -ARTISAN GLOBAL VALUE INV					Buy	09/13/13	K		
140. -ARTISAN INTERNATIONAL INV (X)					Sold	09/13/13	J	A	
141. -ARTISAN MIDCAP VALUE INV					Buy	09/13/13	K		
142. -BARON REAL ESTATE INST					Buy	09/13/13	J		
143. -BLSCKROCK MUNIYLD ARIZ FD INC					Sold	02/12/13	K	A	
144. -CALVERT GLOBAL WATER A					Buy	09/13/13	J		
145. -CENTER COAST MLP FOCUS I					Sold	09/13/13	J	B	
146. -CENTRAL GOLDTRUST UNITS					Buy	09/13/13	J		
147. -CHEVRON CORP					Sold	09/13/13	J	B	
148. -CISCO SYS INC					Sold	09/13/13	J	A	
149. -COCA COLA CO					Sold	09/13/13	J	B	
150. -COLGATE PALMOLIVE CO					Sold	09/13/13	J		
151. -COLUMBIA ACORN Z (X)					Sold	09/13/13	J	A	
152. -COLUMBIA INTERM MUNI BOND Z (X)					Sold	09/13/13	K		
153. -COLUMBIA MARSICO FOCUS EQ1 Z (X)					Sold	09/13/13	K	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. -COLUMBIA SMALL CAP GRW I Z (X)					Sold	09/13/13	K	A	
155. -COLUMBIA SMALL CAP VALUE I Z (X)					Sold	09/13/13	J	A	
156. -CUSHING MLP PREMIER I					Buy	09/13/13	J		
157. -DIGITAL REALTY TRUST INC					Sold	09/13/13	J		
158. -DOUBLELINE TOTAL RETURN					Buy (add'l)	02/12/13	J		
159.					Sold (part)	09/13/13	J		
160. -DU PONT EI DE NEMOURS & CO					Sold	09/13/13	J	C	
161. -EXXON MOBIL CORP					Sold	09/13/13	J	A	
162. -FIRST EAGLE GLOBAL I					Buy	09/13/13	K		
163. -GATEWAY FUND Y					Buy	09/13/13	K		
164. -HARBOR INTERNATIONAL INST (X)					Sold	09/13/13	J	A	
165. -ISHARES GOLD TRUST					Sold	09/13/13	J		
166. -ISHARES IBOXX INVEST GR COR FD					Buy (add'l)	02/12/13	J		
167.					Sold	09/13/13	J		
168. -JOHNSON & JOHNSON					Sold	09/13/13	J	B	
169. -LAZARD EMERGING MARKETS I (X)					Sold	09/13/13	J		
170. -LOOMIS SAYLES STRATEGIC INC Y					Buy (add'l)	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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.					Sold (part)	09/13/13	K	B	
172. -LORD ABBETT SHT DURATION INC F					Buy	09/13/13	K		
173. -MAINSTAY MARKETFIELD I					Buy	09/13/13	K		
174. -MC DONALDS CORP					Sold	09/13/13	J	C	
175. -METROPOLITAN WEST TOT RET BD I					Buy	09/13/13	K		
176. -MICROSOFT CORP					Sold	09/13/13	J	A	
177. -MKT VECTORS MTGE REIT INC ETF					Sold	02/12/13	K	A	
178. -NIKE INC B					Sold	02/12/13	J		
179. -OAKMARK I					Buy	09/13/13	K		
180. -OAKMARK INTERNATL I					Buy	09/13/13	K		
181. -PEPSICO INC NC					Sold	09/13/13	J	B	
182. -PFIZER INC					Sold	09/13/13	J	C	
183. -PIMCO ALL ASSET ALL AUTH P					Buy	02/12/13	K		
184.					Sold	09/13/13	K		
185. -PIMCO COMM REAL RET STRAT INST (X)					Sold	09/13/13	J		
186. -PIMCO TOTAL RETURN P					Buy	09/13/13	K		
187.					Sold	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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. -PRINCIPAL PREFERRED SEC INST (X)					Sold	09/13/13	J		
189. -PROCTER & GAMBLE					Sold	09/13/13	J	B	
190. -PUTNAM DIVERSIFIED INC TR Y					Buy	02/12/13	K		
191.					Sold	09/13/13	K		
192. -QUALCOMM INC					Sold	09/13/13	J	A	
193. -STARWOOD HTLS & RSTS WW INC					Sold	02/12/13	J		
194. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/13/13	K		
195. -TCW EMERG MKTS INCOME I					Sold	09/13/13	K		
196. -TEMPLETON GLB TOTAL RETURN ADV					Buy	09/13/13	J		
197. -TEMPLETON GLOBAL BD FD ADV					Buy	02/12/13	K		
198.					Sold	09/13/13	K		
199. -THORNBURG DEVELOPING WORLD I					Buy	09/13/13	K		
200. -U S BANCORP COM NEW					Sold	09/13/13	J	A	
201. -UNITED TECHNOLOGIES CORP					Sold	09/13/13	J	C	
202. -UNITEDHEALTH GP INC					Sold	09/13/13	J	A	
203. -VERIZON COMMUNICATIONS					Sold	09/13/13	J	B	
204. -VIRTUS INSIGHT EMERG MKTS I					Buy (add'l)	02/12/13	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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.					Sold	09/13/13	K		
206. -WASATCH SM CAP GRW FD					Buy	09/13/13	K		
207. -WELLS FARGO & CO NEW					Sold	09/13/13	J	B	
208. (H) IRA #1 [REDACTED]	E	Int./Div.	O	T					
209. -MORGAN STANLEY BANK N.A.									
210. -ALGER SPECTRA A					Buy	02/12/13	K		
211.					Buy (add'l)	09/12/13	J		
212. -ARTISAN GLOBAL VALUE INV					Buy	09/12/13	K		
213. -ARTISAN MIDCAP VALUE INV					Buy	09/12/13	K		
214. -CALVERT GLOBAL WATER A					Buy	09/12/13	J		
215. -CENTER COAST MLP FOCUS I					Sold	09/12/13	K	B	
216. -CENTRAL GOLDTRUST UNITS					Buy	09/12/13	K		
217. -CUSHING MLP PREMIER I					Buy	09/12/13	K		
218. -DIGITAL REALTY TRUST INC					Sold	09/12/13	J		
219. -DOUBLELINE TOTAL RETURN I					Sold (part)	02/12/13	K	A	
220.					Sold (part)	09/12/13	K	A	
221. -FEDERATED STRAT VAL DIV INST					Buy (add'l)	02/12/13	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		

FINANCIAL DISCLOSURE REPORT

Page 17 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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.					Sold	09/12/13	K	C	
223. -FIRST EAGLE GLOBAL I					Buy	02/12/13	K		
224.					Sold (part)	09/12/13	J	A	
225. -GATEWAY FUND Y					Buy	09/12/13	K		
226. -GUGGENHEIM DEFENSIVE EQUITY ET					Sold	09/12/13	J	B	
227. -GUGGENHEIM MID-CAP CORE ETF					Sold	09/12/13	K	C	
228. -GUGGENHEIM S&P 500 PURE GRW					Sold (part)	02/12/13	J	B	
229.					Sold	09/12/13	K	C	
230. -INVESCO SELECT COMPANIES Y					Buy	02/12/13	J		
231.					Sold	09/12/13	J	A	
232. -ISHARES FTSE NAREIT RESIDENT					Sold	02/12/13	K	C	
233. -ISHARES GOLD TRUST					Sold	09/12/13	J		
234. -ISHARES IBOXX INVEST GR COR FD					Sold	02/12/13	K	B	
235. -LOOMIS SAYLES STRATEGIC INC Y					Buy (add'l)	02/12/13	J		
236.					Sold (part)	09/12/13	K	B	
237. -LORD ABBETT SHT DURATION INC F					Buy	09/12/13	K		
238. -MAINSTAY FLOATING RATE I					Sold	02/12/13	K	B	

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	

FINANCIAL DISCLOSURE REPORT

Page 18 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

239. -MAINSTAY MARKETFIELD I					Buy	09/12/13	K		
240. -MATTHEW'S ASIAN GWTH & INC INV					Buy	02/12/13	K		
241.					Sold	09/12/13	K		
242. -METROPOLITAN WEST TOT RET BD I					Sold	02/12/13	K	B	
243.					Buy	09/12/13	K		
244. -MKT VECTORS MTGE REIT INC ETF					Sold	02/12/13	K	B	
245. -OAKMARK I					Buy	02/12/13	K		
246.					Buy (add'l)	09/12/13	K		
247. -OAKMARK INTERNATL I					Buy	09/12/13	K		
248. -PIMCO ALL ASSET ALL AUTH P					Buy	02/12/13	K		
249.					Sold	09/12/13	K		
250. -PIMCO TOTAL RETURN P					Sold (part)	02/12/13	J		
251.					Sold	09/12/13	K		
252. -PRUDENTIAL TOTAL RETURN BD Z					Sold	02/12/13	K	A	
253. -PUTNAM DIVERSIFIED INC TR Y					Buy	02/12/13	K		
254.					Sold	09/12/13	K		
255. -ROYCE PREMIER INV					Buy	02/12/13	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	

FINANCIAL DISCLOSURE REPORT

Page 19 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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

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

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

256.					Sold	09/12/13	K	B	
257. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/12/13	K		
258. -T ROWE PRICE REAL ESTATE FD					Buy	09/12/13	J		
259. -TCW EMERG MKTS INCOME I					Sold	09/12/13	K		
260. -TEMPLETON GLB TOTAL RETURN ADV					Buy	09/12/13	J		
261. -TEMPLETON GLOBAL BD FD ADV					Buy	02/12/13	K		
262.					Sold	09/12/13	K		
263. -THORNBURG DEVELOPING WORLD I					Buy	09/12/13	K		
264. -VIRTUS INSIGHT EMERG MKTS I					Sold (part)	02/12/13	J	A	
265.					Sold	09/12/13	K		
266. -WASATCH SM CAP GRW FD					Buy	09/12/13	K		
267. -W P CAREY INC COM (X)									
268. (H) IRA #2 [REDACTED]	A	Int./Div.	N	T					
269. -John Hancock Venture Annuity Lifestyle Moderate Fund									
270. -Corporate Prop Assoc 15 REIT (Y) (Y)									
271. (H) IRA #3 [REDACTED]	C	Int./Div.	M	T					
272. -MORGAN STANLEY BANK N.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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

273. -ALGER SPECTRA A					Buy	02/12/13	J		
274. -ARTISAN GLOBAL VALUE INV					Buy	09/13/13	J		
275. -ARTISAN MIDCAP VALUE INV					Buy	09/13/13	J		
276. -CALVERT GLOBAL WATER A					Buy	09/13/13	J		
277. -CENTER COAST MLP FOCUS I					Sold	09/13/13	J		
278. -CENTRAL GOLDTRUST UNITS					Buy	09/13/13	J		
279. -CUSHING MLP PREMIER I					Buy	09/13/13	J		
280. -DIGITAL REALTY TRUST INC					Sold	09/13/13	J		
281. -DOUBLELINE TOTAL RETURN I					Sold	02/12/13	J		
282. -FEDERATED STRAT VAL DIV INST					Buy (add'l)	02/12/13	J		
283.					Sold	09/13/13	J		
284. -FIRST EAGLE GLOBAL I					Buy	02/12/13	J		
285. -GATEWAY FUND Y					Buy	09/13/13	J		
286. -GUGGENHEIM MID-CAP CORE ETF					Sold	09/13/13	J		
287. -GUGGENHEIM S&P 500 PURE GRW					Sold (part)	02/12/13	J		
288.					Sold	09/13/13	J		
289. -INVESCO BALANCED-RISK ALLOC Y					Buy	02/12/13	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 21 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
290.					Sold	09/13/13	J		
291. -INVESCO SELECT COMPANIES Y					Buy	02/12/13	J		
292.					Sold	09/13/13	J		
293. -ISHARES FTSE NAREIT RESIDENT					Sold	02/12/13	J		
294. -ISHARES IBOXX INVEST GR COR FD					Sold	02/12/13	J		
295. -LOOMIS SAYLES STRATEGIC INC Y					Sold (part)	02/12/13	J		
296.					Sold (part)	09/13/13	J		
297. -LORD ABBETT SHT DURATION INC F					Buy	09/13/13	J		
298. -MAINSTAY FLOATING RATE I					Sold	02/12/13	J		
299. -MAINSTAY MARKETFIELD I					Buy	09/13/13	J		
300. -MATTHEWS ASIAN GWTH & INC INV					Buy	02/12/13	J		
301.					Sold	09/13/13	J		
302. -METROPOLITAN WEST TOT RET BD I					Sold	02/12/13	J		
303.					Buy	09/13/13	J		
304. -MKT VECTORS MTGE REIT INC ETF					Sold	02/12/13	J		
305. -OAKMARK I					Buy	02/12/13	J		
306.					Sold (part)	09/13/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
307. -OAKMARK INTERNATL I					Buy	09/13/13	J		
308. -PIMCO ALL ASSET ALL AUTH P					Buy	02/12/13	J		
309.					Sold	09/13/13	J		
310. -PIMCO TOTAL RETURN P					Sold	09/13/13	J		
311. -PRUDENTIAL TOTAL RETURN BD Z					Sold	02/12/13	J		
312. -PUTNAM DIVERSIFIED INC TR Y					Buy	02/12/13	J		
313.					Sold	09/13/13	J		
314. -ROYCE PREMIER INV CONFIRM NBR					Buy	02/12/13	J		
315.					Sold	09/13/13	J		
316. -SPDR BARCLAYS CAPITAL HIGH YIE					Sold	02/12/13	J		
317. -SPDR GOLD TR GOLD SHS					Sold	09/13/13	J		
318. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/13/13	J		
319. -TCW EMERG MKTS INCOME I					Sold	09/13/13	J		
320. -TEMPLETON GLB TOTAL RETURN ADV					Buy	02/12/13	J		
321.					Buy (add'l)	09/13/13	J		
322. -TEMPLETON GLOBAL BD FD ADV					Sold	09/13/13	J		
323. -THORNBURG DEVELOPING WORLD I					Buy	09/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 23 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

324. -VIRTUS INSIGHT EMERG MKTS I					Sold	09/13/13	J		
325. -W P CAREY INC COM (X)					Sold (part)	09/13/13	J		
326. -WASATCH SM CAP GRW FD					Buy	09/13/13	J		
327. (H) IRA #4 [REDACTED]	B	Int./Div.	K	T					
328. -MORGAN STANLEY BANK N.A.									
329. -ALGER SPECTRA A					Buy	09/13/13	J		
330. -ARTISAN GLOBAL VALUE INV					Buy	09/13/13	J		
331. -ARTISAN MIDCAP VALUE INV					Buy	09/13/13	J		
332. -DOUBLELINE TOTAL RETURN I					Sold (part)	09/13/13	J		
333. -FEDERATED STRAT VAL DIV INST					Buy (add'l)	02/13/13	J		
334.					Sold	09/13/13	J	A	
335. -FIRST EAGLE GLOBAL I					Buy	02/13/13	J		
336. -GUGGENHEIM DEFENSIVE EQUITY ET					Sold	02/13/13	J	A	
337. -GUGGENHEIM MID-CAP CORE X)					Sold	09/13/13	J	A	
338. -GUGGENHEIM S&P 500 PURE (Y)									
339. -ISHARES FTSE NAREIT RESIDENT (Y)									
340. -ISHARES IBOXX INVEST GR COR FD					Sold	02/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 24 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)

341. -LOOMIS SAYLES STRATEGIC INC Y					Sold (part)	09/13/13	J	A	
342. -LORD ABBETT SHT DURATION INC F					Buy	09/13/13	J		
343. -MAINSTAY MARKETFIELD I					Buy	09/13/13	J		
344. -MATTHEWS ASIAN GWTH & INC INV					Buy	02/13/13	J		
345.					Sold	09/13/13	J		
346. -METROPOLITAN WEST TOT RET BD I					Sold	02/13/13	J	A	
347.					Buy	09/13/13	J		
348. -MKT VECTORS MTGE REIT INC ETF					Sold	02/13/13	J	A	
349. -OAKMARK I					Buy	02/13/13	J		
350.					Sold (part)	09/13/13	J	A	
351. -OAKMARK INTERNATL I					Buy	09/13/13	J		
352. -PIMCO TOTAL RETURN P					Sold	09/13/13	J		
353. -PRUDENTIAL TOTAL RETURN BD Z					Sold	02/13/13	J		
354. -SPDR BARCLAYS CAPITAL HIGH YIE					Sold	02/13/13	J	A	
355. -SUNAMERICA NEW FOC DIV STRA A					Buy	09/13/13	J		
356. -TCW EMERG MKTS INCOME I					Sold	09/13/13	J		
357. -TEMPLETON GLOBAL BD FD ADV					Buy	02/13/13	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	

FINANCIAL DISCLOSURE REPORT

Page 25 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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)
358.					Sold	09/13/13	J		
359. -THORNBURG DEVELOPING WORLD I					Buy	09/13/13	J		
360. -VIRTUS INSIGHT EMERG MKTS I					Sold	09/13/13	J		
361. -WASATCH SM CAP GRW FD					Buy	09/13/13	J		
362. (H) IRA #6 ██████████ CLOSED	A	Int./Div.	J	T					
363. -Corporate Prop Assoc ██████████ (Y)									
364. -MORGAN STANLEY BANK N.A.									
365.									

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	

FINANCIAL DISCLOSURE REPORT

Page 26 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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

Trust #3

Trust #3 Transferred in assets from [REDACTED] All sales, without a prior buy in 2013, are marked with an (X).

IRA #1

(WPC) W P Carey Comm Stock was transferred from IRA #2 to IRA #1.

IRA #2

Corporate Prop Assoc [REDACTED] (Y) was exchanged for (WPC) W P Carey Comm Stock. Then the (WPC) W P Carey Comm Stock was transferred to IRA #1.

IRA #3

(WPC) W P Carey Comm Stock was transferred from IRA #6 to IRA #3.

IRA #6

Corporate Prop Assoc [REDACTED] (Y) was exchanged for (WPC) W P Carey Comm Stock. Then the (WPC) W P Carey Comm Stock was transferred to IRA #3.

FINANCIAL DISCLOSURE REPORT

Page 27 of 27

Name of Person Reporting

Hurwitz, Andrew

Date of Report

05/13/2014

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/ Andrew Hurwitz**

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