

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 United States Court of Appeals for the Ninth Circuit	3. Date of Report 10/29/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address Sandra Day O'Connor Courthouse 401 West Washington Street Phoenix, Arizona 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*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.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. U.S. Bank (Checking/Savings)	A	Interest	K	T					
2. Real Estate Limited Partnership (Avondale Acres) Avondale, AZ	A	Distribution	K	W					
3. (H) Trust #1 ComProp " "	E	Int./Div.	N	T					
4. -MORGAN STANLEY BANK N.A. (X)									
5. -ASTON/MONTAG&CALDWELL GRW I					Sold	05/16/12	K	B	
6. -BLSCKROCK MUNIYLD ARIZ FD INC					Buy	06/05/12	K		
7. -CENTER COAST MLP FOCUS I					Buy	11/08/12	K		
8. -DELAWARE DIVERSIFIED INC A					Sold	05/15/12	K	B	
9. -DIGITAL REALTY TRUST INC					Buy	11/08/12	J		
10. -DOUBLELINE TOTAL RETURN I					Buy	06/05/12	J		
11.					Buy (add'l)	11/08/12	J		
12. -DWS RREEF GLB INFRASTRC S (X)					Sold	05/15/12	J	A	
13. -EATON VANCE TX ADV BD INTRM I (X)					Sold	11/08/12	K	B	
14. -FEDERATED STRAT VAL DIV INST (X)					Sold	05/16/12	K	A	
15.					Buy	11/08/12	K		
16. -FRANKLIN HI YIELD TX FR ADV					Sold (part)	01/23/12	J	A	
17. -GUGGENHEIM DEFENSIVE EQUITY ET (X)					Sold	05/16/12	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	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18.					Buy	11/08/12	J		
19. -GUGGENHEIM MID-CAP CORE ETF					Buy	11/08/12	J		
20. -GUGGENHEIM OCEAN TOMO GROWTH FINAL LIQUIDATION (X)					Redeemed	03/30/12	K	C	
21. -GUGGENHEIM S&P 500 PURE GRW					Buy	11/08/12	K		
22. -INVESCO SMALL COMPANIES Y (X)					Sold	05/15/12	J	A	
23. -ISHARES FTSE NAREIT RESIDENT (X)									
24. -ISHARE SILVER TRUST					Sold	05/15/12	J	A	
25. -ISHARES IBOXX INVEST GR COR FD					Buy	06/05/12	L		
26.					Sold	11/08/12	K	B	
27. -IVA INTERNATIONAL A					Sold	01/23/12	K	A	
28. -JP MORGAN HIBRG DYN COMM STRT (X)					Sold	05/15/12	J	D	
29. -LOOMIS SAYLES STRATEGIC INC					Sold	05/16/12	K	D	
30.					Buy	11/08/12	K		
31. -MAINSTAY HIGH YIELD OPPORT A					Sold (part)	03/14/12	J		
32.					Sold	05/15/12	J		
33. -METROPOLITAN WEST TOT RET BD I					Sold (part)	03/14/12	J	A	
34.					Buy (add'l)	06/05/12	K		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35.					Sold (part)	11/08/12	K	B	
36. -MKT VECTORS MTGE REIT INC ETF					Buy	11/08/12	J		
37. -PIMCO EMERGING MKTS BD P					Sold	05/16/12	J	A	
38. -PIMCO TOTAL RETURN FUND A									
39. -PRUDENTIAL JENNISON NAT RES Z					Sold	01/23/12	J		
40. -PRUDENTIAL TOTAL RETURN BD Z (X)					Sold (part)	03/14/12	J		
41. -ROYCE PREMIER SERVICE (X)					Sold	05/15/12	J	A	
42. -SPDR BARCLAYS CAPITAL HIGH YIE					Buy	06/05/12	K		
43. -SPDR GOLD TR GOLD SHS					Sold	05/15/12	J	C	
44.					Buy	06/05/12	J		
45.					Buy (add'l)	11/08/12	J		
46. -TCW EMERG MKTS INCOME I					Buy	11/08/12	K		
47. -TEMPLETON GLOBAL BD FD ADV					Sold (part)	03/14/12	J	A	
48.					Sold	05/16/12	J		
49. -UBS E-TRACS ALERIAN MLP INFRASTRUCTURE ETN (X)					Sold	05/15/12	J	A	
50. -VIRTUS INSIGHT EMERG MKTS I (X)					Sold	05/15/12	K	A	
51.					Buy	11/08/12	K		

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52. -WESTERN ASSET MANAGED MUNI I (X)					Sold (part)	11/08/12	J	A	
53. -ALLIANZ NFJ SMALL CAP VALUE P (Y)									
54. -BLACKROCK GLOBAL ALLOCATION A (Y)									
55. -FIRST TRUST ISE GBL COPPER FD (Y)									
56. -HARTFORD FLOATING RATE I (Y)									
57. -HARTFORD GLB REAL ASSET I (Y)									
58. -IVY ASSET STRATEGY A (Y)									
59. -LOOMIS SAYLES BOND RETAIL (Y)									
60. -MARKET VECTORS AGRIBUS ETF (Y)									
61. -OPPENHEIMER DEVELOPING MKTS A (Y)									
62. -PARNASSUS EQUITY INC (Y)									
63. -PIMCO UNCONSTRAINED BOND P (Y)									
64. -POWERSHARES DB AGRICULTURE FD (Y)									
65. -ROYCE 100 FUND SERV (Y)									
66. -T ROWE PRICE EQI-INC ADV FUND (Y)									
67. -THIRD AVE FOCUSED CREDIT INV (Y)									
68. -THIRD AVE REAL ESTATE VAL INST (Y)									

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69. -THORNBURG INTL VALUE 1 (Y)									
70. -WISDOMTREE TR EMG MKTS SMCAP (Y)									
71. "(H) TRUST #2 A S&S 151 Opened "	D	Int./Div.	N	T					
72. -MORGAN STANLEY BANK N.A. (X)									
73. -Aston/Montag&Caldwell Grw I (X)					Sold	05/16/12	J	A	
74. -BlackRock Muni Yield Arizona Income Fund (MZA)					Buy	06/08/12	K		
75. -Center Coast MLP Focus Mutual Fund (CCCNX)					Buy	11/08/12	J		
76. -Delaware Diversified Inc A (DPDFX) (X)					Sold	05/15/12	J	A	
77. -Doubleline Total Return Fund (DBLTX)					Buy	06/05/12	J		
78.					Buy (add'l)	11/08/12	J		
79. -DWS Rreef Glb Infrastrc S (TOLSX) (X)					Sold	05/15/12	J	A	
80. -Eaton Vance Tx Adv Bd Intrm (ETIIX) (X)					Sold	11/08/12	K	A	
81. -Federated Strategic Value Divident (SVAIX)					Buy	11/08/12	K		
82. -Franklin Hi Yield Tx Fr Adv FHYVX (X)					Sold	05/16/12	J	A	
83. -Guggenheim Defensive Equity ETF (DEF) (X)					Sold	05/16/12	J	A	
84.					Buy	11/08/12	J		
85. -Guggenheim Mid-Cap Core ETF (CZA)					Buy	11/08/12	J		

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86. -Guggenheim Ocean Tomo Growth (X)					Redeemed	03/30/12	J	A	
87. -Guggenheim S&P500 Pure Growth (RPG)					Buy	11/08/12	J		
88. -Invesco Small Companies Y (ATIYX) (X)					Sold	05/15/12	J	A	
89. -ISHARES FTSE NAREIT RESIDENT (X)									
90. -iShares Gold Trust (IAU)					Buy	11/08/12	J		
91. -iShares Silver Trust (SLV) (X)					Sold	05/15/12	J	A	
92. -iShares iBoxx Investment Grade Corp Bond (LQD)					Buy	06/05/12	K		
93.					Sold (part)	11/08/12	J	A	
94. -Iva International A (IVIOX) (X)					Sold	05/15/12	J		
95. -Ivy Asset Strategy I (IVAEX) (X)					Sold	05/15/12	J	B	
96. -Jp Morgan Hibrg Dyn Comm Strt (HDCSX) (X)					Sold	05/15/12	J		
97. -WESTERN ASSET MANAGED MUNI I (X)					Sold (part)	01/06/12	J	A	
98. -Loomis Sayles Bond Inst LSBDX (X)					Sold	11/08/12	K	D	
99. -Loomis Sayles Strategic Income (NEZYX)					Buy	11/08/12	K		
100. -Mainstay High Yield Opport I (X)					Sold	05/16/12	J		
101. -METROPOLITAN WEST TOT RET BD I (X)									
102. -Mkt Vectors Mortgage REIT ETF (MORT)					Buy	11/08/12	J		

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103. -Pimco Emerging Mkts Bd P PEMPX (X)					Sold	05/16/12	J	A	
104. -Pimco Total Return (PTTPX)					Buy	11/08/12	J		
105. -Prudential Jennison Nat Res Z PNRZX (X)					Sold (part)	01/24/12	J		
106.					Sold	05/15/12	J		
107. -PRUDENTIAL TOTAL RETURN BD Z (X)									
108. -Royce Premier Service RPFFX (X)					Sold	05/15/12	J		
109. -SPDR Barclays Capital High Yield (JNK)					Buy	06/05/12	K		
110. -SPDR Gold Trust Gold Shares (GLD) (X)					Sold	05/15/12	J	B	
111. -TCW Emerging Market Income (TGEIX)					Buy	11/08/12	K		
112. -Templeton Global Bd Fd Adv TGBAX (X)					Sold	05/16/12	K	B	
113. -UBS E-Tracs Alerian MLP Infrastructure ETN MLPI (X)					Sold	05/15/12	J		
114. -Virtus Emerging Markets (HIEMX) (X)					Sold	05/15/12	K	A	
115.					Buy	11/08/12	K		
116. "(H) Trust #3 S S&S 651 Opened "	C	Int./Div.	N	T					
117. -MORGAN STANLEY BANK N.A. (X)									
118. -ABBOTT LABORATORIES (X)									
119. -ALGER SPECTRA A					Buy	11/09/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -BLSCKROCK MUNIYLD ARIZ FD INC					Buy	10/25/12	K		
121. -CENTER COAST MLP FOCUS I					Buy	11/09/12	J		
122. -CHEVRON CORP (X)									
123. -CISCO SYS INC (X)									
124. -COCA COLA CO (X)									
125. -COLGATE PALMOLIVE CO (X)									
126. -COLUMBIA ACORN SELECT Z (X)					Sold	11/09/12	J		
127. -COLUMBIA INTERM MUNI BOND Z (X)					Sold	11/09/12	K		
128. -DIGITAL REALTY TRUST INC					Buy	11/09/12	J		
129. -DOUBLELINE TOTAL RETURN I					Buy	10/25/12	K		
130. -DU PONT EI DE NEMOURS & CO (X)									
131. -EMC CORP MASS (X)					Sold	11/09/12	J		
132. -EXELON CORP (X)					Sold	11/09/12	J		
133. -EXXON MOBIL CORP (X)									
134. -GENERAL ELECTRIC CO (X)					Sold	11/09/12	J		
135. -HESS CORPORATION (X)					Sold	10/25/12	J		
136. -ISHARES GOLD TRUST					Buy	11/09/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -ISHARES IBOXX INVEST GR COR FD					Buy	11/09/12	J		
138. -JOHNSON & JOHNSON (X)									
139. -KELLOGG CO (X)					Sold	10/25/12	J		
140. -LAZARD EMERGING MARKETS I (X)					Sold	11/09/12	J		
141. -LOOMIS SAYLES STRATEGIC INC					Buy	11/09/12	K		
142. -MC DONALDS CORP (X)									
143. -MICROSOFT CORP (X)									
144. -MKT VECTORS MTGE REIT INC ETF					Buy	10/25/12	K		
145. -NIKE INC B (X)									
146. -PEPSICO INC NC (X)									
147. -PFIZER INC (X)									
148. -POWERSHARES WATER RES PTF (X)					Sold	11/09/12	J		
149. -PROCTER & GAMBLE (X)									
150. -QUALCOMM INC (X)									
151. -STARWOOD HTLS & RSTS W/W INC (X)									
152. -STATE STREET CORP (X)					Sold	11/09/12	J		
153. -TAIWAN SMCNDCTR MFG CO LTD ADR (X)					Sold	11/09/12	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -TCW EMERG MKTS INCOME I					Buy	10/25/12	K		
155. -U S BANCORP COM NEW (X)									
156. -UNITED TECHNOLOGIES CORP (X)									
157. -UNITEDHEALTH GP INC (X)									
158. -VERIZON COMMUNICATIONS (X)									
159. -VIRTUS INSIGHT EMERG MKTS I					Buy	11/09/12	J		
160. -WELLS FARGO & CO NEW (X)									
161. (H) IRA #1 A RO	E	Int/Div.	O	T					
162. -MORGAN STANLEY BANK N.A. (X)									
163. -ASTON/MONTAG&CALDWELL GRW I					Sold	05/16/12	K	B	
164. -CENTER COAST MLP FOCUS I					Buy	11/08/12	K		
165. -DELAWARE DIVERSIFIED INC A					Sold	05/15/12	K		
166. -DIGITAL REALTY TRUST INC					Buy	11/08/12	J		
167. -DOUBLELINE TOTAL RETURN I					Buy	06/05/12	K		
168.					Buy (add'l)	11/08/12	K		
169. -DWS RREEF GLB INFRASTRC S (X)					Sold	05/15/12	J	A	
170. -FEDERATED STRAT VAL DIV INST (X)					Sold	05/16/12	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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Buy	11/08/12	K		
172. -FIRST TRUST ISE GBL COPPER FD					Sold	05/15/12	J		
173. -GUGGENHEIM DEFENSIVE EQUITY ET					Buy	05/16/12	K		
174.					Sold (part)	11/08/12	K	B	
175. -GUGGENHEIM MID-CAP CORE ETF					Buy	11/08/12	J		
176. -GUGGENHEIM OCEAN TOMO GROWTH FINAL LIQUIDATION (X)					Redeemed	03/30/12	K	B	
177. -GUGGENHEIM S&P 500 PURE GRW					Buy	11/08/12	K		
178. -INVESCO SMALL COMPANIES Y (X)					Sold	05/15/12	J	A	
179. -ISHARE SILVER TRUST					Sold	05/15/12	J	A	
180. -ISHARES FTSE NAREIT RESIDENT					Buy	11/08/12	J		
181. -ISHARES GOLD TRUST					Buy	11/08/12	K		
182. -ISHARES IBOXX INVEST GR COR FD					Buy	06/05/12	L		
183.					Sold (part)	11/08/12	J	A	
184. -IVA INTERNATIONAL A (X)					Sold	05/15/12	J		
185. -JP MORGAN HIBRG DYN COMM STRT (X)					Sold	05/15/12	J		
186. -LOOMIS SAYLES STRATEGIC INC					Sold	05/16/12	K	C	
187.					Buy	11/08/12	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. -MAINSTAY FLOATING RATE I					Buy	11/08/12	K		
189. -MAINSTAY HIGH YIELD OPPORT I					Sold	05/15/12	J		
190. -METROPOLITAN WEST TOT RET BD I									
191. -MKT VECTORS MTGE REIT INC ETF					Buy	11/08/12	K		
192. -PIMCO EMERGING MKTS BD P					Sold	05/16/12	J	A	
193. -PIMCO TOTAL RETURN P					Buy (add'l)	11/08/12	K		
194. -PRUDENTIAL JENNISON NAT RES Z					Sold	05/15/12	J		
195. -PRUDENTIAL TOTAL RETURN BD Z (X)					Sold (part)	11/08/12	J	A	
196. -ROYCE PREMIER SERVICE (X)					Sold	05/15/12	J	A	
197. -SPDR GOLD TR GOLD SHS					Sold	05/15/12	J	C	
198.					Buy	06/05/12	J		
199.					Sold	11/08/12	J	A	
200. -TCW EMERG MKTS INCOME I					Buy	11/08/12	K		
201. -TEMPLETON GLOBAL BD FD ADV					Sold	05/16/12	K	A	
202. -UBS E-TRACS ALERIAN MLP INFRASTRUCTURE ETN (X)					Sold	05/15/12	J	A	
203. -VIRTUS INSIGHT EMERG MKTS I (X)					Sold	05/15/12	K	A	
204.					Buy	11/08/12	K		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. -ALLIANZ NFJ SMALL CAP VALUE P (Y)									
206. -BLACKROCK GLOBAL ALLOCATION A (Y)									
207. -HARTFORD GLB REAL ASSET I (Y)									
208. -IVY ASSET STRATEGY A (Y)									
209. -MARKET VECTORS AGRIBUS ETF (Y)									
210. -OPPENHEIMER DEVELOPING MKTS A (Y)									
211. -PARNASSUS EQUITY INC (Y)									
212. -POWERSHARES DB AGRICULTURE FD (Y)									
213. -ROYCE 100 FUND SERV (Y)									
214. -THIRD AVE FOCUSED CREDIT INV (Y)									
215. -THIRD AVE REAL ESTATE VAL INST (Y)									
216. -THORNBURG INTL VALUE I (Y)									
217. -WISDOMTREE TR EMG MKTS SMCAP (Y)									
218. (H) IRA #2 A Annty	A	Int/Div.	N	T					
219. -John Hancock Venture Annuity Lifestyle Moderate Fund									
220. -Corporate Prop Assoc 15 REIT									
221. (H) IRA #3 S	C	Int/Div.	L	T					

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

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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. -MORGAN STANLEY BANK N.A.									
223. -ASTON/MONTAG&CALDWELL GRW I					Sold	05/16/12	J	A	
224. -CENTER COAST MLP FOCUS I					Buy	11/08/12	J		
225. -DELAWARE DIVERSIFIED INC A					Sold	05/15/12	J	A	
226. -DIGITAL REALTY TRUST INC					Buy	11/08/12	J		
227. -DOUBLELINE TOTAL RETURN I					Buy	06/05/12	J		
228.					Sold (part)	11/08/12	J	A	
229. -DWS RREEF GLB INFRASTRUC S (X)					Sold	05/15/12	J	A	
230. -FEDERATED STRAT VAL DIV INST (X)					Sold	05/16/12	J	A	
231.					Buy	11/08/12	J		
232. -GUGGENHEIM DEFENSIVE EQUITY ET (X)					Sold	05/16/12	J	A	
233. -GUGGENHEIM MID-CAP CORE ETF					Buy	11/08/12	J		
234. -GUGGENHEIM OCEAN TOMO GROWTH FINAL LIQUIDATION (X)					Redeemed	03/30/12	J	A	
235. -GUGGENHEIM S&P 500 PURE GRW					Buy	11/08/12	J		
236. -ISHARES FTSE NAREIT RESIDENT (X)									
237. -ISHARES IBOXX INVEST GR COR FD					Buy	06/05/12	K		
238.					Sold (part)	11/08/12	J	A	

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

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

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

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

239. -IVA INTERNATIONAL A					Sold	05/15/12	J		
240. -JP MORGAN HIBRG DYN COMM STRT (X)					Sold	05/15/12	J		
241. -LOOMIS SAYLES STRATEGIC INC					Sold	05/16/12	J	A	
242.					Buy	11/08/12	J		
243. -MAINSTAY FLOATING RATE I (X)					Sold (part)	11/08/12	J	A	
244. -MAINSTAY HIGH YIELD OPPORT I					Sold	05/15/12	J		
245. -METROPOLITAN WST TOT RET BD M									
246. -MKT VECTORS MTGE REIT INC ETF					Buy	11/08/12	J		
247. -PIMCO EMERGING MKTS BD P					Sold	05/16/12	J	A	
248. -PIMCO TOTAL RETURN P									
249. -PRUDENTIAL TOTAL RETURN BD Z (X)									
250. -ROYCE PREMIER SERVICE (X)					Sold	05/15/12	J	A	
251. -SPDR BARCLAYS CAPITAL HIGH YIE					Buy	06/05/12	J		
252. -SPDR GOLD TR GOLD SHS					Sold	05/15/12	J	A	
253.					Buy	06/05/12	J		
254. -TCW EMERG MKTS INCOME I					Buy	11/08/12	J		
255. -TEMPLETON GLOBAL BD FD ADV					Sold	05/16/12	J	A	

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

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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. -UBS E-TRACS ALERIAN MLP INFRASTRUCTURE ETN (X)					Sold	05/15/12	J	A	
257. -VIRTUS INSIGHT EMERG MKTS I (X)					Sold (part)	05/15/12	J	A	
258. -PRUDENTIAL JENNISON NAT RES Z (Y)									
259. -ALLIANZ NFJ SMALL CAP VALUE P (Y)									
260. -BLACKROCK GLOBAL ALLOCATION A (Y)									
261. -COLUMBIA VALUE & RESTRUCT A (Y)									
262. -FIRST TRUST ISE GBL COPPER FD (Y)									
263. -HARTFORD GLB REAL ASSET I (Y)									
264. -IVY ASSET STRATEGY A (Y)									
265. -OPPENHEIMER DEVELOPING MKTS A (Y)									
266. -PARNASSUS EQUITY INC (Y)									
267. -PIMCO UNCONSTRAINED BOND P (Y)									
268. -ROYCE 100 FUND SERV (Y)									
269. -THIRD AVE FOCUSED CREDIT INV (Y)									
270. -THIRD AVE REAL ESTATE VAL INST (Y)									
271. -THORNBURG INTL VALUE I (Y)NBR (Y)									
272. -WISDOMTREE TR EMG MKTS SMCAP (Y)									

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

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

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

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

273. (H) IRA #4 A Inh	A	Int./Div.	K	T					
274. -MORGAN STANLEY BANK N.A.									
275. -ASTON/MONTAG&CALDWELL GRW I					Sold	05/16/12	J	A	
276. -BLACKROCK EQUITY DIVIDEND I					Sold	05/16/12	J	A	
277. -DOUBLELINE TOTAL RETURN I					Buy	06/05/12	J		
278. -FEDERATED STRAT VAL DIV INST					Buy	11/09/12	J		
279. -GUGGENHEIM S&P 500 PURE GRW					Buy	11/09/12	J		
280. -ING GLOBAL REAL ESTATE FD I					Sold	05/16/12	J	A	
281. -ISHARES FTSE NAREIT RESIDENT					Buy	06/05/12	J		
282. -ISHARES IBOXX INVEST GR COR FD					Buy	06/05/12	J		
283. -LAZARD EMERGING MARKETS I					Sold	05/16/12	J		
284. -LOOMIS SAYLES BOND INST					Sold	11/09/12	J	A	
285. -LOOMIS SAYLES STRATEGIC INC					Buy	11/09/12	J		
286. -METROPOLITAN WST TOT RET BD M									
287. -MKT VECTORS MTGE REIT INC ETF					Buy	11/09/12	J		
288. -NUVEEN TRADEWINDS VAL OPPORT I					Sold	05/16/12	J		
289. -PIMCO TOTAL RETURN P									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. -PIONEER CULLEN VALUE					Sold	05/16/12	J	A	
291. -PRUDENTIAL JENNISON NAT RES Z					Sold	05/16/12	J		
292. -PRUDENTIAL TOTAL RETURN BD Z					Buy	11/09/12	J		
293. -ROYCE VALUE INV					Sold	05/16/12	J	A	
294. -SPDR BARCLAYS CAPITAL HIGH YIE					Buy	06/05/12	J		
295. -T ROWE PRICE HIGH YLD ADV					Sold	05/16/12	J	A	
296. -TCW EMERG MKTS INCOME I					Buy	11/09/12	J		
297. -TEMPLETON GLOBAL BD FD ADV					Sold	05/16/12	J	A	
298. -THORNBURG INTL VALUE I					Sold	05/16/12	J	A	
299. -VIRTUS INSIGHT EMERG MKTS I					Buy	11/09/12	J		
300. (H) IRA #5 Closed									
301. -Fidelity Contrafund (Y)									
302. -Neuberger Berma High Income Bond Fund (Y)									
303. -T Rowe Price Micap Group Advantage Fund (Y)									
304. -PIMCO Total Return Fund (Y)									
305. -American Funds capital World Group Income fund (Y)									
306. -American Century Equity Income Investments (Y)									

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. (H) IRA #6 S CPA	A	Int./Div.	J	T					
308. -Corporate Prop Assoc 15 REIT									
309. -MORGAN STANLEY BANK N.A.									
310.									

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

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

Trust #1

The prior report was the nomination report on 10/31/11. There is a reporting gap of 2 months between that report and the beginning of this report. There was a lot of activity during that period. Trust 1 was separated into Trust 1 and Trust 2. Some of the assets were transferred from this trust #1 to Trust #2. These are marked with a (Y). There were many holdings Sold between 10/31/11 and 1/1/2012. These are marked with a (Y). There were some holdings purchased during this period these are marked with an (X).

Trust #2

Trust #2 did not exist on 10/31/11, the date of the nomination report and was opened after the nomination report and before the start of 2012. Part of the assets listed on the Nomination Report as Trust #1 were transferred to this account. None of the 12/31/12 holdings were on the prior report therefore all purchases and transfers in during 10/31/11 to 1/1/12 will have an (X). There are no assets with a (Y) b/c there was no prior report on Trust #2. Holdings without a buy were purchased between 10/31/11 and 12/31/11 and therefore have an (X).

Trust #3

Trust #3 was a new account in 2012 funded with assets from inheritance. All sales, without a prior buy in 2012, are marked with an (X). All sales of inherited assets had negligible gain because they received a stepped-up basis at the date of death.

IRA #1

The prior report was the nomination report on 10/31/11. There is a reporting gap of 2 months between that report and the beginning of this report. Funds purchased between 11/1/11 and 12/31/11 were not on the prior report and are marked with (X). Funds sold during this gap are marked with a (Y). Funds held at the end of the year that were purchased in a prior year are listed without transactions. All 2012 transactions are listed.

IRA #3

The prior report was the nomination report on 10/31/11. There is a reporting gap of 2 months between that report and the beginning of this report. Funds purchased between 11/1/11 and 12/31/11 were not on the prior report and are marked with (X). Funds sold during this gap are marked with a (Y). Funds held at the end of the year that were purchased in a prior year are listed without transactions. First Trust ISE GLobal Copper fund, Royce 100 Fund Serv and Allianz NFJ Small Cap Value Fund were on the prior report and sold in 2012 but not listed as a sale because it was below the reporting requirement of \$1,000.

IRA #4

The prior report was the nomination report on 10/31/11. There is a reporting gap of 2 months between that report and the beginning of this report. Funds purchased between 11/1/11 and 12/31/11 were not on the prior report and are marked with (X). Funds sold during this gap are marked with a (Y). Funds held at the end of the year that were purchased in a prior year are listed without transactions. There were several transactions in this account which were below the \$1,000 minimum required for listing. In 2012 -ISHARES FTSE NAREIT RESIDENT was bought for \$1,052 and the transaction was reported. It was partially Sold for \$333 which was below the reporting requirement of \$1,000. The holding is now below the reporting requirement of \$1,000.

IRA #5

IRA #5 (457) reported on the Nomination Report was Closed. The assets were transferred to IRA #1.

IRA #6

IRA #6 was previously report on the Nomination Report as the second listed IRA #4.

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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/ **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
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