



**GURTIN FIXED INCOME MANAGEMENT, LLC**

**440 Stevens Avenue, Suite 260**

**Solana Beach, CA 92075**

**P: 858-436-2200**

**F: 858-436-2201**

**[www.gurtin.com](http://www.gurtin.com)**

**William R. Gurtin**

**440 Stevens Avenue, Suite 260**

**Solana Beach, CA 92075**

**P: 858-436-2200**

This brochure supplement provides information about William R. Gurtin that supplements Gurtin Fixed Income Management LLC's brochure. You should have received a copy of that brochure. Please contact Jeffery A. Yorg, 312.588.7364 if you did not receive Gurtin Fixed Income Management LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about William R. Gurtin is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

William R. Gurtin, 55 (1960)

### **Formal Education**

University of Chicago, Graduate School of Business, M.B.A., 1985

Brown University, B.S. Applied Mathematics & Economics, 1982

### **Business Background**

Chief Executive Officer, Chief Investment Officer, Founder, Gurtin Fixed Income Management LLC, 2008-Present

Senior Vice President and Senior Portfolio Manager, Fixed Income Investments, Morgan Stanley, The Gurtin Group, 1999-2008

Senior Vice President, Merrill Lynch, 1995-1999

Vice President, Goldman Sachs, 1985-1995

### **Disciplinary Information**

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Mr. Gurtin Does not have any disciplinary history.

### **Other Business Activities**

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#### **Investment-related Activities**

William R. Gurtin, CEO, CIO and Managing Partner, serves on the Board of Directors of Pisces, Inc., a family office. The Board consists of five members, including three members of the family served by the family office. Board members serve for one-year terms and may be re-elected with no maximum term of service. Board members have fiduciary obligations to the shareholders of Pisces and meet at least once each year and have additional special meetings as necessary for corporate governance matters. This does not present a conflict of interest as board members are not compensated by Pisces for their service as directors.

William R. Gurtin, CEO, CIO and Managing Director, also serves on the Strategic Advisory Committee of New MainStream Capital, a private investment firm specializing in strategic equity investments of lower middle market companies in selected growth industries. The Strategic Advisory Committee consists of six members (two of which are Founders who sit in) who provide strategic advice to the Partnership, the General Partner and the Investment Team with respect to such matters as investment policies and strategies, significant changes to portfolio companies or the management teams thereof, and other strategic transactions or matters as may arise from time to time. This does not present a conflict of interest as members of the Strategic Advisory Committee are not compensated by New MainStream Capital for their service as committee members.

## **Additional Compensation**

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### **Economic Benefit**

William R. Gurtin's compensation comes from his regular salary and ownership of Gurtin Fixed Income Management LLC.

### **Supervision**

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As CEO, CIO and Managing Partner of Gurtin Fixed Income Management LLC, William R. Gurtin is not supervised. He serves on the Investment Committee that meets to make investment decisions and manage portfolio strategy on behalf of the firm.



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**Steven S. Simpson**

**440 Stevens Avenue, Suite 260**

**Solana Beach, CA 92075**

**P: 858-436-2200**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Steven S. Simpson, 42 (1973)

### **Formal Education**

Northwestern University, Kellogg School of Management, M.B.A. in Finance & Strategy, 2003  
University of Kansas, B.S. Business Administration, 1995

### **Business Background**

President, Managing Partner, Gurtin Fixed Income Management LLC, 2008-Present

Vice President, Portfolio Manager, Morgan Stanley, 2003-2008

Manager, Financial Services Consulting Practice, Accenture, 1996-2003

### **Disciplinary Information**

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Mr. Simpson does not have any disciplinary history.

### **Other Business Activities**

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Mr. Simpson is not actively engaged in any other investment-related business activities.

### **Additional Compensation**

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#### **Economic Benefit**

Steven S. Simpson's compensation comes from his regular salary and ownership of Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

The Investment Committee meets to make investment decisions and manage portfolio strategy on behalf of the firm. Steve Simpson is a member of the Investment Committee.

#### **Name, Title and Telephone Number of Supervisor:**

William R. Gurtin, Chief Executive Officer, Chief Investment Officer, Managing Partner 858-436-2200



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**Michael E. Johnson**

**440 Stevens Avenue, Suite 260**

**Solana Beach, CA 92075**

**P: 858-436-2200**

This brochure supplement provides information about Michael E. Johnson that supplements Gurtin Fixed Income Management LLC's brochure. You should have received a copy of that brochure. Please contact Jeffery A. Yorg, 312.588.7364 if you did not receive Gurtin Fixed Income Management LLC's brochure or if you have any questions about the contents of this supplement.

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Michael E. Johnson, 43 (1972)

### **Formal Education**

New School University, M.S. Urban Policy Analysis and Management, 1997

University of California, Riverside, B.S. Ethnic Studies, 1994

### **Business Background**

Managing Partner, Head of Research, Co-CIO, Gurtin Fixed Income Management LLC, 2008-Present

Director, Municipal Credit Team, Banking and Insurance Credit Teams, Merrill Lynch and Co., 2005-2008

Analyst, Co-Manager, Midwest Regional Office Moody's Investors Service, 1998-2005

### **Disciplinary Information**

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Mr. Johnson does not have any disciplinary history.

### **Other Business Activities**

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Mr. Johnson is not actively engaged in any other investment-related activities.

### **Additional Compensation**

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#### **Economic Benefit**

Michael E. Johnson's compensation comes from his regular salary and ownership of Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

The Investment Committee meets to make investment decisions and manage portfolio strategy on behalf of the firm. Michael E. Johnson is a member of the Investment Committee.

#### **Name, Title and Telephone Number of Supervisor**

William R. Gurtin, Chief Executive Officer, Chief Investment Officer, Managing Partner 858-436-2200



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**Francis X. Michl**

**440 Stevens Avenue, Suite 260**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Francis X. Michl, 50 (1964)

### **Formal Education**

Southern Illinois University, B.S. Finance, 1987

### **Business Background**

Partner, Co-Head of Portfolio Management, Gurtin Fixed Income Management LLC, 2008-Present

First Vice President, Morgan Stanley, The Gurtin Group, 2003-2008

Municipal Bond Trader, Head Municipal Bond Trader Midwest Division, Morgan Stanley, 1987-2003

### **Disciplinary Information**

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Mr. Michl does not have any disciplinary history.

### **Other Business Activities**

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Mr. Michl is not actively engaged in any other investment-related business activities.

### **Additional Compensation**

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#### **Economic Benefit**

Francis X. Michl's compensation comes from his regular salary and ownership of Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

The Investment Committee meets to make investment decisions and manage portfolio strategy on behalf of the firm. Francis X. Michl is a member of the Investment Committee.

#### **Name, Title and Telephone Number of Supervisor**

Michael E. Johnson, Head of Research, Co-CIO, Managing Partner, 858.436.2200



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**James M. Grandinetti**

**440 Stevens Avenue, Suite 260**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

James M. Grandinetti, 38 (1976)

### **Formal Education**

Fordham University, B.A. Economics, 1999

### **Business Background**

Partner, Co-Head of Portfolio Management, Gurtin Fixed Income Management LLC, 2008-Present

Vice President, Trading, Morgan Stanley, 2004-2008

Trader, Royal Alliance, 2001-2004

Trader, Hennion & Walsh, 1999-2001

### **Disciplinary Information**

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Mr. Grandinetti does not have any disciplinary history.

### **Other Business Activities**

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Mr. Grandinetti is not actively engaged in any other investment-related business activities.

### **Additional Compensation**

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#### **Economic Benefit**

James M. Grandinetti's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

The Investment Committee meets to make investment decisions and manage portfolio strategy on behalf of the firm. James M. Grandinetti is a member of the Investment Committee.

#### **Name, Title and Telephone Number of Supervisor**

Michael E. Johnson, Head of Research, Co-CIO, Managing Partner, 858.436.2200



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**Shandi Johnson**

**440 Stevens Avenue, Suite 260**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Shandi Johnson, 35 (1980)

### **Formal Education**

Harvard University Business School, M.B.A., 2008

Harvard College, B.A. Economics, 2002

### **Business Background**

Partner, Head of Strategic Development and Marketing, Gurtin Fixed Income Management LLC, 2009-Present

Associate, Investment Banking Division (Public Sector & Infrastructure Group), Goldman Sachs, 2007-2009

Treasury Analyst, City of Oakland, CA, Treasury Department, 2004-2006

Consultant, Public Financial Management, 2002-2004

### **Disciplinary Information**

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Mrs. Johnson does not have any disciplinary history.

### **Other Business Activities**

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Mrs. Johnson is not actively engaged in any other investment-related business activities.

### **Additional Compensation**

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#### **Economic Benefit**

Shandi Johnson's compensation comes from her regular salary and bonus from Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

The Investment Committee meets to make investment decisions and manage portfolio strategy on behalf of the firm. Shandi Johnson is a member of the Investment Committee.

#### **Name, Title and Telephone Number of Supervisor:**

William R. Gurtin, Chief Executive Officer, Chief Investment Officer, Managing Partner, 858.436.2200



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**Christina C. Lynch**

**440 Stevens Avenue, Suite 260**

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**Educational Background & Business Experience**

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**Name, Age (Year of Birth)**

Christina C. Lynch, 26, (1988)

**Formal Education**

Villanova University, B.S., Finance, 2010

**Business Background**

Senior Associate, Business Development, Gurtin Fixed Income Management LLC, 2010-Present

**Disciplinary Information**

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Ms. Lynch does not have any disciplinary history.

**Other Business Activities**

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Ms. Lynch is not actively engaged in any other investment-related business activities.

**Additional Compensation**

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**Economic Benefit**

Christina Lynch's compensation comes from her regular salary and bonus from Gurtin Fixed Income Management LLC.

**Supervision**

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**Describe Supervision**

Christina Lynch is a member of the Portfolio Advisory team that meets regularly to discuss new developments.

**Name, Title and Telephone Number of Supervisor**

Steven S. Simpson, President, Managing Partner, 858.436.2200



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**Nicholas C. Downer**

**440 Stevens Avenue, Suite 260**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Nicholas C. Downer, 26 (1988)

### **Formal Education**

Dartmouth College, B.A. Asian and Middle Eastern Studies, 2011

### **Business Background**

Vice President, Relationship Management, Gurtin Fixed Income Management, LLC, 2012 – Present

Analyst, Jefferies and Company, 2011 – 2012

### **Disciplinary Information**

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Mr. Downer does not have any disciplinary history.

### **Other Business Activities**

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Mr. Downer is not actively engaged in any other investment-related activities.

### **Additional Compensation**

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#### **Economic Benefit**

Nicholas C. Downer's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

Nicholas C. Downer is a member of the Portfolio Advisory team that meets regularly to discuss new developments.

#### **Name, Title and Telephone Number of Supervisor**

Steven S. Simpson, President, Managing Partner, 858.436.2200



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**David Alan Trice**

**440 Stevens Avenue, Suite 260**

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This brochure supplement provides information about David Alan Trice that supplements Gurtin Fixed Income Management LLC's brochure. You should have received a copy of that brochure. Please contact Jeffery A. Yorg, 312.588.7364 if you did not receive Gurtin Fixed Income Management LLC's brochure or if you have any questions about the contents of this supplement.

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

David Alan Trice, 33 (1981)

### **Formal Education**

UCLA Anderson School of Management, M.B.A., 2012

Duke University, B.A. Classical Studies, 2004

### **Business Background**

Vice President, Head of Relationship Management, Gurtin Fixed Income Management, LLC, 2013 – Present

Vice President, Allianz Global Investors Capital, 2005 – 2012

### **Disciplinary Information**

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Mr. Trice does not have any disciplinary history.

### **Other Business Activities**

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Mr. Trice is not actively engaged in any other investment-related business activities.

### **Additional Compensation**

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#### **Economic Benefit**

David Alan Trice's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

David Alan Trice is a member of the Portfolio Advisory team that meets regularly to discuss new developments.

#### **Name, Title and Telephone Number of Supervisor**

Steven S. Simpson, President, Managing Partner, 858.436.2200



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**John Hornbeak**

**440 Stevens Avenue, Suite 260**

**Solana Beach, CA 92075**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

John Hornbeak, 34 (1980)

### **Formal Education**

University of Oxford, M.B.A., 2010

Stanford University, B.S. Management Science & Engineering, 2003

### **Business Background**

Senior Associate, Relationship Management Gurtin Fixed Income Management, LLC, 2014 – Present

Senior Associate, Green Street Advisors, 2010 – 2014

Investment Analyst, TriPacific Capital Advisors/Lowe Enterprises, 2005 – 2008

Associate Project Manager, Mid-Peninsula Housing, 2003 - 2005

## **Disciplinary Information**

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Mr. Hornbeak does not have any disciplinary history.

## **Other Business Activities**

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Mr. Hornbeak is not actively engaged in any other investment-related activities.

## **Additional Compensation**

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### **Economic Benefit**

Mr. Hornbeak's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

## **Supervision**

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### **Describe Supervision**

John Hornbeak is a member of the Portfolio Advisory team that meets regularly to discuss new developments.

### **Name, Title and Telephone Number of Supervisor**

David Alan Trice, Vice President, Relationship Management, 858.436.2200



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**Jeffery A. Yorg**

**One East Wacker Drive, Suite 3100**

**Chicago, IL. 60601**

**P: 312.588.7360**

This brochure supplement provides information about Jeffery A. Yorg that supplements Gurtin Fixed Income Management LLC's brochure. You should have received a copy of that brochure. Please contact Jeffery A. Yorg, 312.588.7364 if you did not receive Gurtin Fixed Income Management LLC's brochure or if you have any questions about the contents of this supplement.

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Jeffery A. Yorg, 37 (1977)

### **Formal Education**

Saint Louis University School of Law, J.D., 2008  
University of Texas at Austin, M.P. Aff. Public Affairs, 2002  
Washington University, M.A. in Political Economy, 2000  
Webster University, B.A. History/Political Science, 1999

### **Business Background**

Chief Compliance Officer, Head of Legal and Compliance, and Vice President Credit Research Gurtin Fixed Income Management, LLC, 2014 – Present  
Assistant Vice President/Analyst, Moody's Investors Service, 2012 – 2014  
Legal Associate, Husch Blackwell, LLP, 2008 – 2012  
Analyst, Moody's Investors Service, 2002 - 2005

## **Disciplinary Information**

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Mr. Yorg does not have any disciplinary history.

## **Other Business Activities**

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Mr. Yorg is not actively engaged in any other investment-related activities.

## **Additional Compensation**

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### **Economic Benefit**

Mr. Yorg's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

## **Supervision**

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### **Describe Supervision**

Jeffery A. Yorg is a member of the Portfolio Management team that meets regularly to discuss new developments and oversees all legal and compliance operating for the firm.

### **Name, Title and Telephone Number of Supervisor**

Michael E. Johnson, Head of Research, Co-CIO, Managing Partner, 858.436.2200

William R. Gurtin, Chief Executive Officer, Chief Investment Officer, Managing Partner 858-436-2200







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**Jonathan Harvey**

**1 East Wacker Drive, Suite 3100**

**Chicago, IL 60601**

**P: 312-588-7360**

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## **Educational Background & Business Experience**

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### **Name, Age (Year of Birth)**

Jonathan Harvey, 36 (1978)

### **Formal Education**

Master of Business Administration, Kellogg School of Management, Northwestern University, 2013  
Bachelor of Arts, University of Notre Dame, 2002

### **Business Background**

Senior Associate, Gurtin Fixed Income Management LLC, 2014 – Present  
Associate, Accion Chicago – 2009 – 2011  
Associate, Merrill Lynch – 2006 – 2009  
Analyst, Legg Mason – 2003 – 2006  
Intern, Salomon Smith Barney – 2002

### **Disciplinary Information**

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Mr. Harvey does not have any disciplinary history.

### **Other Business Activities**

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Mr. Harvey is not actively engaged in any other investment-related activities.

### **Additional Compensation**

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#### **Economic Benefit**

Mr. Harvey's compensation comes from his regular salary and bonus from Gurtin Fixed Income Management LLC.

### **Supervision**

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#### **Describe Supervision**

Jon Harvey is a member of the Portfolio Advisory team that meets regularly to discuss new developments.

#### **Name, Title and Telephone Number of Supervisor**

Steven Simpson, President of Gurtin Fixed Income LLC, 858.436.2200