

*This brochure supplement provides information about Leslie Horwitz that supplements the Naples Asset Management Co., LLC brochure. You should have received a copy of that brochure. Please contact Paul McIntyre if you did not receive Naples Asset Management Co., LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Leslie Horwitz is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*



## Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Leslie Paul Horwitz**

Personal CRD Number: 1591412

Investment Adviser Representative

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## Item 2: Educational Background and Business Experience

**Name:** Leslie Paul Horwitz                      **Born:** 1959

### **Education:**

Bachelor of Science in Finance, Northern Illinois University, 1981

Masters of Business Administration, Northern Illinois University, 1982

### **Business Background:**

05/2020 – Present	NAMCOA - Naples Asset Management Co., LLC Investment Adviser Representative
10/2013 – 07/2019	Senior Director Investments, Oppenheimer Inc.
09/2000 – 10/2013	Head of Fixed Income Securities, Kent King Securities Division of Royal Securities
5/1991 – 09/2000	Head of Fixed Income Securities, D H Brush & Assoc.
11/1986 - 03/1990	Various NASD Member Broker Dealer Firms

### **Examinations & Licenses:**

FINRA: Series 7 (General Securities) 1986

Series 24 (General Securities Principal) 1995

Series 63 (Blue Sky Law) 1986

NASAA: Series 65 (Investment Adviser Law) 2016

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Leslie Horwitz does not have any other outside business activities.

### **Item 5: Additional Compensation**

Leslie Horwitz does not receive any economic benefit from any person, company, or organization, other than Naples Asset Management Co., LLC in exchange for providing clients advisory services through Naples Asset Management Co., LLC.

### **Item 6: Supervision**

As the Chief Compliance Officer of Naples Asset Management Co., LLC, Paul McIntyre supervises all activities of the firm. Paul McIntyre's contact information is on the cover page of this disclosure document. Paul McIntyre adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.

