



# Harbour Investments, Inc. Advisory Disclosure Form

Client Name(s): \_\_\_\_\_

Transfer from: \_\_\_\_\_ Amount: \$ \_\_\_\_\_

**1. How does a transfer to an advisory account help the client meet their goals?**

- |   |   |
|---|---|
| <input type="checkbox"/> Increase active account monitoring         | <input type="checkbox"/> Increase active trading                              |
| <input type="checkbox"/> Access to investments with no sales charge | <input type="checkbox"/> Investment professional with discretionary authority |
| <input type="checkbox"/> Consolidation of Accounts                  | <input type="checkbox"/> Decrease expenses (Explain in section 2)             |

**2. Please list any other factors considered:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**3. Proposed Costs:**

Advisor Fee \_\_\_\_\_ % or \$ \_\_\_\_\_ Annual Investment Expenses \_\_\_\_\_ %  
(Includes Mutual Fund/ETF/Variable Annuity Expenses)

**4. Is a mutual fund being transferred that has incurred a front-end sales load in the past 2 years?**

- No  Yes (fee billing on these assets may be delayed, offsetting front-end loads previously paid)

If yes, please provide details on when the front-end load was paid and for how much.

**5. Was this investment originally purchased through a Harbour Representative?** Yes \_\_\_\_\_ No \_\_\_\_\_

**6. If transferring shares in-kind, how long do you intend to hold shares before liquidating?**

\_\_\_\_\_

**INFORMED CONSENT OF REG BI:** By submitting this form, the financial professional acknowledges that the client has been provided access to Harbour's Form CRS and/or Harbour's Best Interest Disclosure. Access may be attained electronically by visiting <https://harbourinv.com/clients/regulation-bi/>, on paper, or by other means.

X \_\_\_\_\_  
Client Signature

X \_\_\_\_\_  
Client Signature

X \_\_\_\_\_  
IAR Signature

\_\_\_\_\_  
Date