Pontera Asset Management Addendum

Instructions

Fill in date and client name at top of form.

Section 1

List the held away asset (*401K*) account number or the Pontera account number assigned to the held away asset & a description of the account (*ie John's Fidelity 401K*).

Section 2

List the account that will be paying the fee for the held away asset and the annual rate.

- Account can be Schwab or PAS; Non-Qualified
- Can also list 'Credit Card' or 'ACH' rather than a Schwab or PAS account number.
    - *If using Credit Card or ACH the advisor is responsible for making sure the fee is paid each quarter by the client.*
    - *Links for Credit Card or ACH payment can be found on harbourinv.com; clients; helpful links.*

Section 3

Disclosure and client & advisor signatures.

Other important information:

*The Pontera Asset Management Addendum is an addendum to the Harbour Asset Management Services Agreement.

If the client does not already have a Harbour Asset Management Services Agreement on file for another account that the advisor is managing the client must also sign an Asset Management Services Agreement in addition to the Pontera Addendum.

*The client should also have a CIP on file and have received the necessary disclosures relating to opening an advisory account with Harbour (ie customer agreement, privacy policy, CRS, ADV Part II/Advisor brochure supplement…)