Due to the disclosure requirements of RegBI, we are providing some instructions on forms to be used for different transaction scenarios in this new Reg BI world.

With RegBI, a form change was needed. The Commission to Advisory Disclosure form was updated and had its name changed to the Advisory Disclosure Form. It is attached above. It is now required for all transfers going into an advisory account.

Also, attached are disclosure packets that should be used for a New Advisory Client, New Commission Client or an Existing Client.

If you have any questions, please contact us.

Below are the Harbour disclosure packets and links that need to be handed/provided to new clients going forward as it pertains to SEC Rule Regulation Best Interest. Also, attached are the forms required. Please note that for the advisory clients packet your own unique brochure supplement is not included in the attachments and you will need to include it in this packet.

New Advisory client

Disclosure pages in front of CIP
FORM CRS
Harbour wrap fee brochure supplement (ADV part II)
Advisor's brochure supplement (ADV part II) (Note: not included in the attachments)
Give clients the link to your webpage www.harbourinv.com/representative/ password: harbour123

New Commission client

Disclosure pages in front of CIP
FORM CRS
Give clients the link to your webpage www.harbourinv.com/representative/ password: harbour123

Existing Commission Client – New account

FORM CRS
Standalone REG BI disclosure (client signs if there is no LOU or Retirement Plan Rollover Form)
Give clients the link to your webpage www.harbourinv.com/representative/

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