



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?

- Increase active account monitoring
- Increase active trading
- Access to investments with no sales charge
- Investment professional with discretionary authority
- Consolidation of Accounts
- 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.