(For use with Schwab DAO only)

HARBOUR INVESTMENTS, INC.
Registered Investment Advisor & Independent Broker Dealer

CUSTOMER INVESTMENT PROFILE

575 D'Onofrio Drive Suite 300
Madison, WI 53719
Phone: (608) 662-6100
Fax: (608) 662 6116
newbusiness@harbourinv.com
Member FINRA, SIPC and MSRB
www.harbourinv.com

The purpose of this form is to know the essential facts concerning every customer. This is required to effectively service accounts and comply with applicable laws, regulations, and rules. If you have questions regarding any of the terms on this page, please visit https://harbourinv.com/clients/definitions/ or contact your financial professional.

PART I: CUSTOMER PROFILE DATA

Investor 1	TIN/SSN	Date of Birth
Investor 2	TIN/SSN	Date of Birth
Street Address (required)		Phone Inv 1 ☐ Home
City, ST ZIP		Phone Inv 2 ☐ Home
Mailing Address (if different)		
Occupation Investor 1	Employer	Email[1]
Occupation Investor 2	Employer	Email[1]

Minor1	SSN1	DOB1	Minor2	SSN2	DOB2

Trusted Contact Person Name	Phone	Email

☐ I/WE ELECT TO OPT-OUT OF ANNUAL MAILINGS, AVAILABLE AT WWW.HARBOURINV.COM.

THIS IS A SIMPLE OR SEP PLAN PARTICIPANT. ☐ (If so, skip to Risk Tolerance and Investment Objective).

Email[1]. By providing your email address(es) above you agree to receive confirms/disclosures via email. (Personal information may include address, investment time frame and/or risk tolerance.)

PART II: CUSTOMER INFORMATION

Household Income	☐ $0 - 49,999	☐ $50,000 - 99,999	☐ $100,000 - 249,999	☐ $250,000 - 499,999	☐ $500,000+
Household Net Worth	☐ $0 - 99,999	☐ $100,000 - 499,999	☐ $500,000 - 999,999	☐ $1,000,000 - $4,999,999	☐ $5,000,000+
HH Net Worth Exc Home	☐ $0 - 99,999	☐ $100,000 - 499,999	☐ $500,000 - 999,999	☐ $1,000,000 - $4,999,999	☐ $5,000,000+
Average Annual Expenses	☐ $0 - 24,999	☐ $25,000 - 49,999	☐ $50,000 - 99,999	☐ $100,000 - 199,999	☐ $200,000+
Risk Tolerance	☐ Conservative	☐ Moderate Conservative	☐ Moderate	☐ Moderate Aggressive	☐ Aggressive
Investment Objective	☐ Income	☐ Growth & Income	☐ Growth		

PART III: CUSTOMER STATEMENT

By checking the checkbox as part of the digital account opening process, the client certifies the following:

I/We acknowledge the above information is accurate. I/we understand the financial professional listed below is an independent contractor with Harbour Investments, Inc., and that any questions, concerns, public disclosure inquiries or service requests may be directed to the financial professional or to Harbour Investments, Inc.'s home office. **I/We have received and accept the Customer Agreement, which includes the Predispute Arbitration clause, Privacy Policy, Business Continuity Disclosure and Client Relationship Summary. By completing the digital account opening process, I hereby agree to arbitrate any claim or dispute which may arise in accordance with the Predispute Arbitration Clause.**

ID # Investor 1: ________________________________

☐Driver's License ☐Passport ☐Other____________

Issued by (state or country): ____________________

Issue Date: _________ Expiration Date: __________

☐ Affiliated with FINRA or Exchange Member

ID # Investor 2: ________________________________

☐Driver's License ☐Passport ☐Other____________

Issued by (state or country): ____________________

Issue Date: _________ Expiration Date: __________

☐ Affiliated with FINRA or Exchange Member

PART IV: FINANCIAL PROFESSIONAL STATEMENT

I am acquainted with this customer, have discussed their investment objectives, verified their identity, and am licensed to transact business in the client's state of residence. The above information furnished by the customer and other information known by me adequately describes the client's circumstances and objectives.

Name of Financial Professional	Date	Rep #