

# WEEKLY COMMUNICATIONS

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April 7-13, 2025



## COMPLIANCE CORNER

### TRADE EXECUTION FOLLOW UP

Please stay on top of trade executions. If you enter a trade before the market opens, be sure to check after the open to confirm it was filled. If a trade hasn't executed within a minute, call Harbour right away to investigate.

Prompt follow-up can save you and your client thousands—and prevent a lot of unnecessary stress.

## COMPLIANCE CORNER

# OUTSIDE BUSINESS ACTIVITY UPDATES

### REVIEW YOUR U4

Please review your Outside Business Activities on your U-4 or on Brokercheck to ensure it is up to date.

- Your company, LLC, DBA, Corporation must be included on your U4 as an OBA.
- Are you insurance licensed? Then your U4 should also list you as an Independent Insurance Agent.

### SEC AUDIT

During our SEC Audit, they seem to be paying particular attention to the OBAs and possibility that they are also Private Securities Transactions.

Are you considering undertaking an endeavor (or already have) such as buying a restaurant or investing in an organization where you are an owner/part owner? Please call Harbour to verify if that activity qualifies as an Outside Business Activity or a Private Securities Transaction.

First Trust

## TARIFFS

With the recent market volatility and conversations regarding tariffs, and economic uncertainty, First Trust has provided a digital Client Resource Kit.

[CLICK HERE TO ACCESS THE KIT](#)



# BRING A FRIEND

## To Regionals!!

Harbour is in growth mode! Do you know a fully licensed producing advisor that would be a great fit for Harbour?

Bring them with you to one of our regionals and you will both receive a gift valued over \$50!

MINNESOTA - JUNE 3  
MADISON - JUNE 11  
GREEN BAY - JUNE 17  
MICHIGAN - JULY 8

[CONTACT MEGAN FOR MORE INFO](#)

Golf in Madison, Green Bay or Michigan



FREE GIFT  
FOR YOU  
AND YOUR  
GUEST

Minnesota Cruise



## 2025

## HARBOUR INVESTMENTS SUMMER REGIONALS

JOIN US FOR THIS FANTASTIC OPPORTUNITY TO CONNECT WITH INDUSTRY PEERS AND GAIN VALUABLE INSIGHTS! USE THE LINKS BELOW TO SIGN UP!

MINNESOTA - JUNE 3RD

MADISON - JUNE 11TH

GREEN BAY - JUNE 17TH

MICHIGAN - JULY 8TH

