

# WEEKLY COMMUNICATIONS

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April 28-May 4, 2025



## TRUSTED CONTACTS: A SIMPLE STEP FOR STRONGER PROTECTION

Financial firms are required under FINRA Rule 4512 (and many State's regulations) to make reasonable efforts to obtain a Trusted Contact for each retail account. This person serves as an added layer of security, helping firms address concerns such as financial exploitation, especially among senior investors.

Recent examinations highlight that many accounts still lack this critical safeguard. Including a Trusted Contact can be instrumental in preventing fraud and ensuring timely support if a client shows signs of diminished capacity. If a client does decline to provide a Trusted Contact, be sure to document the refusal.

Review your clients' accounts today  
This small step can make a big difference.



## TULUM 2026 ADULTS ONLY

### UNICO - RIVIERA MAYA

10 DAYS - January 7-17, 2026  
7 DAYS - January 10-17, 2026

*If you're craving sun, sand, and something seriously special, you must join us for this trip! This resort provides high-end indulgence with exceptional dining, expanded activities, and premium accommodations.*

*We encourage early registration for the best selection of rooms. Additional fees apply for 2 queen beds due to limited supply.*

|             | 7 Day - Single | 7 Day - Double | 10 Day - Single | 10 Day - Double |
|-------------|----------------|----------------|-----------------|-----------------|
| Tropical    | \$4,800        | \$5,200        | \$6,750         | \$7,200         |
| Ocean View  | \$4,850        | \$5,300        | \$6,950         | \$7,400         |
| Ocean Front | \$5,950        | \$6,400        | \$8,450         | \$8,900         |

CONTACT US [HERE](#) FOR MORE INFORMATION & TO BOOK!

# Quest CE Training

Those of you who have not yet completed Harbour Firm Element CE Training should have recently received an automated email from [support@questce.com](mailto:support@questce.com) to do so.

Some users noted that these emails were delivered to their junk mail/spam folders. Please check this folder if you have not received it in your regular inbox.

Please note the reminder emails will continue to be sent to you on a monthly basis until you complete your requirements. Feel free to complete this continuing education at your earliest convenience.



Reach out to [kkopitzke@harbourinv.com](mailto:kkopitzke@harbourinv.com) with any questions.

QUEST CE



## NEW UPDATES



### DEPOSIT BLOTTER

A new review page has been added to the deposit blotter. This will allow you to click "Previous" and go back a page to update anything that was incorrectly inputted. This will help duplicate submissions from being created by giving you a chance to ensure everything has been correctly inputted.



### NAF SUBMISSIONS

We are still working with developers to add a "Previous" button for NAF submission confirmations. Keep an eye out for further communication in the future. If you have any questions, please contact [atlas@harbourinv.com](mailto:atlas@harbourinv.com)

## INTEGRATION ISSUES



For those that are utilizing the Morningstar/Redtail integration, there has been a recent trend of some financial accounts duplicating/double reporting within Redtail. Their support team is investigating the issue and we will let you know when this has been resolved. Fortunately, Morningstar Office is reporting correctly/not duplicating financial accounts.

Please reach out to [morningstar@harbourinv.com](mailto:morningstar@harbourinv.com) with any questions





**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**

**HAPPY**  
*Birthday*



**April 28**

Travis Gaskell - Viroqua, WI

**April 30**

Doug Crubel - Lancaster, WI

**May 2**

Austin Seifert - Scottsdale, AZ

**May 3**

Shaefer Oshefsky - Luxemburg, WI

Duane Janka - Stevensville, MI

Dugan Hettich - Elm Grove, WI

**Happy**  
*Anniversary*

**May 2**

Lucas Kane - West Des Moines, IA

**May 4**

David Schachte - Verona, WI

Susan Olson - Sun Prairie, WI

