HARBOUR INVESTMENTS, INC.
Brokerage Services & Financial Consultants

COMPLIANCE NOTICE 24-1

To: All Harbour Investment Professionals
From: Rick Medland
Subject: Customer Investment Profile
Date: November 4, 2024

In the ever-changing landscape of compliance, requirements seem to evolve constantly. To keep up with the regulations, Harbour has to make changes to our forms periodically. One such change is that we will now require more than just the Driver's License number to be present on the Customer Investment Profile. To help the government fight the funding of terrorism and money laundering activity, FINRA has outlined the information we must collect on the CIP. We have added new fields to the form to accommodate these requirements. On the new version of the CIP, you will now see these new items:

1) A description of any document that was used to verify the customer's identity. Most commonly this will be a Driver's License or Passport, but other government issued photo identification could also be used.
2) The place of issuance of the identification. This will usually be a state but could be another government entity.
3) The date of issuance.
4) The date of expiration.

These new fields will take a little more time to fill out, and Harbour would not add them to the CIP if they were not required, so please be diligent to fill in each item so client paperwork does not get held up or delayed.
This new requirement only applies to new clients, but you can get the information from your existing clients if it is convenient.

Thank You,

Rick Medland