

Privacy Policy

Harbour Investments, Inc. understands that you are concerned about the confidentiality of the financial and personal information you give our firm in the normal course of our conducting securities transactions and providing related investment services. Our Privacy Policy has been reasonably designed to ensure the security of your financial and personal information.

What information will we collect? The financial and personal information you disclose to us (nonpublic personal information) is essential to Harbour Investments and its representatives as we assist you in choosing quality investment products and services suited to your needs. This information includes your name, address, date of birth, social security number, occupation, assets, income, investment objectives and so forth. Nonpublic personal information is gathered from the following sources: (1) information we receive from you on account forms, applications and other documents involved with securities transactions and related investment services, and (2) information about transactions placed through our firm and/or our clearing firms by you or your Harbour representative.

At Harbour, staff access to this information is strictly on a need to know basis in order to carry out your wishes. This information may also be disclosed as required by law, and to securities regulatory agencies or government agencies. Harbour has procedures reasonably designed to protect your information from unauthorized use.

Why does Harbour disclose nonpublic personal information to certain third parties? Harbour is a non-carrying broker dealer; therefore, in order to fulfill your investment instructions, this information is shared with our clearing firms, product vendors such as mutual funds and insurance companies and such other nonaffiliated third parties as may be necessary and permitted by law. Harbour does not share nonpublic personal information with affiliated and nonaffiliated third parties for marketing purposes. We appreciate your business and we hope you will cooperate with us in this matter.

What happens to nonpublic personal information if a customer closes his or her account(s) with Harbour? We may share your information with a new broker dealer that you select to facilitate the transfer of your investments. We understand the importance of your relationship with your representative; Therefore, we may allow our representatives who leave our firm for another broker dealer to retain copies of your information so they can assist with the transfer of your investments and continue to service your account at their new broker dealer. Any continuing use of your information by the representative is subject to the new firm's privacy policy. If you do not want your representative to transfer this information from our firm to his or her new firm in order to continue servicing your account, please contact us by telephone at 1- (888) 855-6960 , or write to Harbour Investments, Inc., 575 D'Onofrio Drive, Suite 300, Madison, WI 53719 to opt out of this information sharing. After your account is closed, we will continue to adhere to the privacy policy described herein and may properly

dispose of your information after 6 years.

A current version of Harbour's privacy policy may be obtained by visiting the client resources section of our website www.harbourinv.com.

FINRA Broker Check

An investor brochure describing FINRA's Broker Check is available online by visiting www.finra.org or calling the FINRA Broker Check hotline number, (800) 289-9999.

Thank you,

Harbour Investments, Inc.