

COMPLIANCE NOTICE 26-01

Immediate Action Required – Form CRS Website Posting Requirements

Deadline:

Mandatory ASAP and no later than Friday, July 17, 2026

Regulation:

SEC Regulation Best Interest Rule 15l-1, the Securities Exchange Act Rule 17a-14 and the Advisers Act Rule 204-5 require SEC-registered investment advisers and dual registrants that maintain a public website must prominently post their current Form CRS so it is readily accessible to retail investors. FINRA also expects member firms to comply with applicable Form CRS filing, delivery, and disclosure obligations.

Accordingly, Harbour Investments requires all affiliated branch, representative, and advisory websites that promote Harbour's brokerage or advisory services to prominently display Harbour's current Form CRS.

This is a mandatory requirement and requires your immediate attention with a deadline of Friday, July 17, 2026

Action:

Harbour strongly suggests you place a link to Harbour's Form CRS as part of the banner at the bottom of your website. This will help you ensure it is the most up to date version as it will come directly from our website and you will not have to replace it when there is an update. This should be included on each page of your website.

To comply by Friday, July 17, 2026, each branch must either:

- Prominently link directly to Harbour's official Form CRS webpage:
<https://harbourinv.com/wp-content/uploads/2026/05/2026-Harbour-ADV-Form-CRS.pdf>
- Or alternatively post the attached Harbour Form CRS PDF prominently on its website

Consequences:

Compliance will conduct daily reviews beginning Tuesday, July 7th to ensure compliance regulations have been met by the July 17 deadline. Branches that have not completed this update by the deadline (7/17) will be subject to a Harbour administrative compliance assessment of \$100 per business day until the website prominently displays Harbour's current Form CRS. Additional supervisory or disciplinary action may also be taken where appropriate.

Questions:

Please contact the Compliance Department at compliance@harbourinv.com immediately if you or your IT provider need assistance posting the PDF or creating the required link.