



Important Disclosures Notification

This disclosure notification is being sent on behalf of Harbor View Advisors, LLC and its registered representatives (collectively called HVA Advisors, LLC) in compliance with our regulatory obligations as a Broker Dealer registered with FINRA, SEC, State of Florida, and other states the firm is registered.

We recognize our obligation to keep financial information about your company source secure and confidential. It's important for you to know that we don't sell your information to anyone. We restrict access to non-public financial information about your company to those representatives and employees who need to know that information to provide products or services to you. We also maintain physical, electronic, and procedural safeguards to guard your non-public personal information. This notice describes how we handle your financial information that we collect while conducting our business.

We collect information about you (such as your company name, address, tax identification number, and financial information) from our discussions with you, and from documents that you may deliver to us in the course of providing service to you. We may use this information to perform the services for which we have been engaged. In order to provide services to you, we may disclose such information to our CPA in conjunction with our annual audit and to the regulatory agencies that oversee our activities including FINRA, SEC, the State of Florida and other states we are registered.

State Laws: Certain individual states also have enacted privacy laws and regulations to protect their citizens. Our privacy practices comply with all applicable laws. If a state's privacy laws are more restrictive than those stated in this notice, we will comply with those laws.

Privacy Notice for California Residents: The California Consumer Privacy Act Notice supplements the information stated above and applies to residents of California. The Notice covers the information and our activities subject to the California Consumer Privacy Act, as amended by the California Privacy Rights Act (collectively, "CCPA"). Details of the Act may be found at [California Consumer Privacy Act \(CCPA\) | State of California - Department of Justice - Office of the Attorney General](#).

Anti-Money Laundering Procedures – To help the government fight the funding of terrorism and money laundering activities, Federal law requires that all financial institutions obtain, verify and record information that identifies each company that retains our services. What this means for you: When we commence an engagement with you, we will ask for your company name, designated officer names, address, formation documents and other information that will allow us to verify the identity of the company.

Preparedness/Business Continuity Plan – Harbor View Advisors, LLC has developed a Business Continuity Plan detailing how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we must be flexible in responding to events as they occur. With that in mind, we are providing you with this information regarding our Business Continuity Plan.

Contacting Us – If, after a significant disruption, you cannot contact us as you usually do, you should call one of our alternative numbers, 904-514-4123 (Carolyn Mathis) or 904-466-3163 (Michelle McCullough).

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records and allowing our customers to transact business. In short, our BCP is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.