



**HARBOR ADVISORY COMPLIANCE ALERT – CUSTODY TRIGGERS**

<b>Check type</b>	<b>Receipt/Deposit</b>	<b>Custody Triggered</b>
Client check payable to RJA for deposit to Account	Harbor/branch	No
Client check payable Harbor for Advisory Fees	Harbor/branch	No
Client check payable to Harbor for account	Harbor/branch	Yes (unless return undeposited check to client within 3 business days)
Client check payable to FA/DBA for account	Harbor/branch	Yes (unless return undeposited check to client within 3 business days)
Third party check for account	RJA or Mobile Deposit	No
Third party check for account	Harbor/branch	Yes (unless return undeposited check to client within 3 business days)