

**Item 1 – Cover Page**

**Brett Kaplan**

**Harding Advisory LLC**

**55 Madison Avenue, 4<sup>th</sup> Floor**

**Morristown, NJ 07960**

**646-334-7810**

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This Brochure Supplement provides information about Brett Kaplan that supplements the Harding Advisory LLC (“Harding Advisory”) Brochure. You should have received a copy of that Brochure. Please contact Brett Kaplan if you did not receive Harding Advisory’s Brochure or if you have any questions about the contents of this supplement.

Additional information about Brett Kaplan also is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 – Educational Background and Business Experience**

**Brett Kaplan** Born: 1982

Education:

2004, BS, Applied Economics and Management, Cornell University

Business Background:

Assistant Vice President, Harding Advisory, 06/2006 – Present

Associate, Maxim Advisory LLC, 02/2006 – 06/2006

Analyst, Citigroup, 07/2004 – 02/2006

### **Item 3 – Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

#### **Item 4 – Other Business Activities**

Registered investment advisers are required to disclose whether any supervised person is actively engaged in any other investment-related business or occupation. No information is applicable to this Item.

## **Item 5 – Additional Compensation**

Registered investment advisers are required to disclose whether someone who is not a client provides an economic benefit to any supervised person for providing advisory services. No information is applicable to this Item.

## **Item 6 – Supervision**

The indenture, collateral management agreement and collateral administration agreement relating to each CDO advised or sub-advised by Harding Advisory set forth, in detail, investment criteria, reporting requirements and scope of duties with respect to the management of the CDO. Each of Harding Advisory and the listed Collateral Manager for the sub-advised CDOs, High Perch, has, where required, engaged a trustee, a collateral administrator and a nationally recognized accounting firm for each CDO. Additionally, Wing Chau, President of Harding Advisory, provides supervision to Brett Kaplan, and can be contacted at 646-334-7810.