

**Part 2B of Form ADV: Brochure Supplement**

**Item 1- Cover Page**

**This brochure supplement provides information about the professional backgrounds of Harch Capital Management, LLC's supervised persons and is supplemental to Harch Capital's Part 2A Firm Brochure. If you have any questions about the contents of this brochure supplement, please contact us.**

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## **Harch Capital Management, LLC**

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- Joseph W. Harch
- Lotte Kiepe
- Josh Pontoriero
- Tyler Harch

## **Joseph W. Harch**

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

Joseph W. Harch is the Founder, Chairman and Managing Member of Harch Capital Management, LLC, which he founded in 1991. In this capacity, Mr. Harch has functioned as a research analyst, investment strategist and portfolio manager for Harch Capital's high yield fixed income and equity accounts since 1991. Mr. Harch, formerly a Certified Public Accountant, has been in the securities business since 1979. Between 1979 and 1991, Mr. Harch was a senior investment banker with the firms of Bateman Eichler, Hill Richards, Prudential Bache Securities, Drexel Burnham Lambert, Inc. ("Drexel Burnham") and Donaldson, Lufkin & Jenrette, Inc. During his tenure at these firms, Mr. Harch originated, processed and marketed in aggregate more than \$15 billion of equity, convertible debt and high yield debt offerings and exchanges. Since 1982, Mr. Harch's career has been concentrated in the non-investment grade debt sector. From October 1988 through February 1990, Mr. Harch was the National High Yield Sales Manager at Drexel Burnham, where he managed its high yield sales force and syndicate department and was responsible for new account development and origination. At Drexel, Mr. Harch was responsible for structuring and selling equity securities (common and preferred stock), convertible debt and all types of debt securities (bank loans and subordinated debt). He was also an active mergers and acquisitions and restructuring adviser to many large corporations. Joe's experience has driven the investment philosophy at Harch Capital- to identify and invest in companies with large market share, the ability to generate free cash flow, possess strong collateral bases, and the ability to access alternative capital sources. Mr. Harch graduated from California State University, Fullerton in 1975 with a BA in Finance and was a Certified Public Accountant with Arthur Young & Company in New York City before entering the securities industry.

### **Item 3- Disciplinary Information**

Mr. Harch does not have any disciplinary information to disclose. He has not been party to a) a criminal or civil action in a domestic, foreign or military court; b) an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; c) a self-regulatory proceeding; or d) any other proceeding in which a professional attainment, designation, or license was revoked.

### **Item 4- Other Business Activities**

Joseph W. Harch is currently not actively engaged in any other investment related business or occupation.

### **Item 5 – Additional Compensation**

Joseph W. Harch currently receives no additional compensation.

### **Item 6- Supervision**

Joseph W. Harch is currently not supervised.

## **Lotte Kiepe**

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

Lotte Kiepe is a Trading Assistant for Harch Capital Management, a position that she has held since March 2011. She is also the Office Manager. Ms. Kiepe earned her BS from University of Colorado.

### **Item 3- Disciplinary Information**

Ms. Kiepe does not have any disciplinary information to disclose. She has not been party to a) a criminal or civil action in a domestic, foreign or military court; b) an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; c) a self-regulatory proceeding; or d) any other proceeding in which a professional attainment, designation, or license was revoked.

### **Item 4- Other Business Activities**

Lotte Kiepe is currently not actively engaged in any other investment related business or occupation.

### **Item 5 – Additional Compensation**

Lotte Kiepe does not currently receive any additional compensation.

### **Item 6- Supervision**

Lotte Kiepe is supervised by Harch Capital Management's Managing Member, who may be reached at 561-226-6199.

## **Josh Pontoriero**

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

Josh Pontoriero is an analyst for Harch Capital a position he has held since 2012. Mr. Pontoriero graduated with a BA in Criminology and a BSBA in Finance from Florida Atlantic University, as well as, an MBA from Florida Atlantic University.

### **Item 3- Disciplinary Information**

Mr. Pontoriero does not have any disciplinary information to disclose. He has not been party to a) a criminal or civil action in a domestic, foreign or military court; b) an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; c) a self-regulatory proceeding; or d) any other proceeding in which a professional attainment, designation, or license was revoked.

### **Item 4- Other Business Activities**

Josh Pontoriero is currently not actively engaged in any other investment related business or occupation.

### **Item 5 – Additional Compensation**

Josh Pontoriero does not currently receive any additional compensation.

### **Item 6- Supervision**

Josh Pontoriero is supervised by Harch Capital Management's Managing Member, who may be reached at 561-226-6199.

## **Tyler Harch**

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

Tyler Harch is an analyst for Harch Capital a position he has held since January 2013. Mr. Harch graduated with a BA in Economics with business emphasis from University at Colorado at Boulder. He is currently pursuing an MBA from the University of Florida and expects to graduate in August 2017.

### **Item 3- Disciplinary Information**

Mr. Harch does not have any disciplinary information to disclose. He has not been party to a) a criminal or civil action in a domestic, foreign or military court; b) an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency or any foreign financial regulatory authority; c) a self-regulatory proceeding; or d) any other proceeding in which a professional attainment, designation, or license was revoked.

### **Item 4- Other Business Activities**

Tyler Harch is currently not actively engaged in any other investment related business or occupation.

### **Item 5 – Additional Compensation**

Tyler Harch does not currently receive any additional compensation.

### **Item 6- Supervision**

Tyler Harch is supervised by Harch Capital Management's Managing Member, who may be reached at 561-226-6199.