

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

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This brochure supplement provides information about Dr. Ufuk Ince, CFA that supplements the Eagle Harbor Asset Management, Inc brochure. You should have received a copy of that brochure. Please contact Andrew P. Loechl, CFA at (206) 224-4102 if you did not receive Eagle Harbor Asset Management, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Dr. Ufuk Ince is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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

Dr. Ufuk Ince, CFA\*  
Born October 8, 1969

\* The CFA designation is a professional certification awarded to candidates by the CFA Institute (formerly AIMR). Candidates must complete three levels each culminating in a six hour exam, have four years of qualified investment experience, and are obligated to adhere to the CFA Institute's Code of Ethics and Standards of Professional Conduct.

### **EDUCATION**

Georgia State University, Ph.D. – Finance, 2002  
Georgia State University, M.S. – Finance, 1997  
Southern Illinois University, MBA - Finance, 1994  
Bosphorus University, B.S. – Mechanical Engineering, 1992

### **BUSINESS BACKGROUND**

October 2013 - present  
**Eagle Harbor Asset Management, Inc.** Seattle, WA  
Partner; Market Strategist and Portfolio Manager as of October 2013  
Chief Compliance Officer as of February 2016

June 2011 – September 2013  
**Turquoise Financial Advisory**, Bellevue, WA  
Chief Investment Officer 2012-2013; Portfolio Manager 2011-2012

September 2011 – August 2019  
**Pacific Lutheran University**, Tacoma, WA  
Faculty Member M.S. in Finance Program

September 2010 – August 2011  
**Seattle University**, Seattle, WA  
Visiting Professor of Finance

August 2000 – August 2010  
**University of Washington**, Seattle, WA  
Assistant Professor of Finance and Graduate Faculty, Adjunct Professor

### **PROFESSIONAL ASSOCIATIONS**

Chartered Financial Analyst [CFA]; Member, CFA Institute 2005  
Board Member; Past Treasurer, Vice President, President CFA Seattle July 2010 to June 2017  
Steering Committee Member, PRMIA Seattle September 2009 to present

### Item 3 Disciplinary Information

Dr. Ufuk Ince has had no legal or disciplinary history or events as described in A, B, C, and D below.

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the *supervised person* 1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses; 2. is the named subject of a pending criminal proceeding that involves an *investment-related* business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses; 3. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation; or 4. was the subject of any *order*, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the *supervised person* from engaging in any *investment-related* activity, or from violating any *investment-related* statute, rule, or *order*.

B. An administrative *proceeding* before the SEC, any other federal regulatory agency, any state regulatory agency, or any *foreign financial regulatory authority* in which the *supervised person* 1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or 2. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation and was the subject of an *order* by the agency or authority (a) denying, suspending, or revoking the authorization of the *supervised person* to act in an *investment-related* business; (b) barring or suspending the *supervised person's* association with an *investment-related* business; (c) otherwise significantly limiting the *supervised person's investment-related* activities; or (d) imposing a civil money penalty of more than \$2,500 on the *supervised person*.

C. A *self-regulatory organization (SRO) proceeding* in which the *supervised person* 1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or 2. was *found* to have been *involved* in a violation of the *SRO's* rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from *investment-related* activities; or (iii) fined more than \$2,500.

D. Any other *proceeding* in which a professional attainment, designation, or license of the *supervised person* was revoked or suspended because of a violation of rules relating to professional conduct. If the *supervised person* resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a *proceeding* (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

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

##### A. Investment Related Business

None

##### B. Any Other Business or Occupation

Dr. Ufuk Ince occasionally provides valuation consulting advice to businesses.

Dr. Ince also assists as an exam grader for the CFA Institute twice a year for four to eight days.

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

Dr. Ufuk Ince derives no additional advisory services compensation outside of client fees at Eagle Harbor Asset Management, Inc.

#### **Item 6 Supervision**

Dr. Ufuk Ince will be supervised by Andrew P. Loechl, CFA. Dr. Ufuk Ince is required to follow and abide by the compliance and policy procedures of Eagle Harbor Asset Management, Inc. as stipulated by law and the SEC.

#### **Item 7 Arbitration and Other Claims**

A. In addition to the events listed in Item 3, Dr. Ufuk Ince has **not** been *involved* in any of the following events listed below:

1. An award or otherwise being *found* liable in an arbitration claim alleging damages in excess of \$2,500, *involving* any of the following:

- (a) an investment or an *investment-related* business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

2. An award or otherwise being *found* liable in a civil, *self-regulatory organization*, or administrative *proceeding involving* any of the following:

- (a) an investment or an *investment-related* business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices

B. Dr. Ufuk Ince has not been a subject in a bankruptcy petition