

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

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This brochure supplement provides information about Brian Rowe, 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) 300-1423 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 Brian Rowe 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**

Brian Rowe, CFA, CAIA

Born April 11, 1975

\* 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.

\* The CAIA charter is the global mark of distinction in alternative investments. The CAIA program consists of a two-tier exam process through which one may earn the CAIA charter, the designation for alternative investment professionals offered by the CAIA Association.

### **EDUCATION**

University of California, Irvine Paul Merage School of Business – MBA, 1999

University of California, Irvine – Bachelor of Science with Honors, Phi Beta Kappa, 1997

### **BUSINESS BACKGROUND**

August 2022 - present

**Eagle Harbor Asset Management, Inc.** Seattle, WA

Partner and Chief Compliance Officer as of August 2022

July 2017 – January 2022

**First Quadrant, LLC**, Glendale, CA

Director of Marketing and Client Service

October 2010 – March 2017

**Verus Investments**, Seattle, WA

Managing Director Hedge Fund Solutions, Managing Director of Manager Research

July 1999 – September 2009

**Weyerhaeuser**, Seattle, WA

Asset Manager, Assistant Director of Planning & Analysis, Valuation Committee Member

### **PROFESSIONAL ASSOCIATIONS**

Chartered Financial Analyst [CFA]; Member, CFA Institute since 2009

Past President (2012) and Board Member (2009-2014) of CFA Society Seattle

### Item 3 Disciplinary Information

Brian Rowe 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

Brian Rowe owns a portfolio of residential rental properties through various LLC's; he is also a passive owner of a residential restoration business and a media production company for the benefit of his children.

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

Brian Rowe derives no additional advisory services compensation outside of client fees at Eagle Harbor Asset Management, Inc.

#### **Item 6 Supervision**

Brian Rowe will be supervised by Andrew P. Loechl, CFA. Brian Rowe 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, Brian Rowe 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. Brian Rowe has not been a subject in a bankruptcy petition