

Flagship Harbor Advisors, LLC Brochure Supplement

Brochure Supplement

NATHAN R. WALLER

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This Brochure Supplement provides information about Nathan Waller that supplements the brochure of Flagship Harbor Advisors, LLC (hereinafter "Flagship Harbor"), a copy of which you should have received. Please contact our Chief Compliance Officer if you did not receive Flagship Harbor Advisors, LLC's brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Nathan Waller is available on the SEC's website at www.adviserinfo.sec.gov.

Flagship Harbor Advisors, LLC, a Registered Investment Adviser
346 Commercial Street, Boston, MA 02109 | (857) 350-4229

Item 2. Educational Background and Business Experience

Born 1987

Post-Secondary Education

University of Maine BS | BS, Business Administration; Marketing | 2009

Recent Business Background

Flagship Harbor Advisors, LLC | Investment adviser representative | April 2023 – Present

Shepard Financial | Director of Operations | July 2016 – Present

LPL Financial Corp. | Registered Representative | July 2016 – Present

Commonwealth Financial Network | Registered Representative | January 2014 – April 2016

Norton Insurance | Insurance and Investment Service Representative | May 2014 – June 2016

KeyBank | Personal Banker | July 2010 – May 2014

Item 3. Disciplinary Information

Flagship Harbor is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Nathan Waller. Flagship Harbor has no information to disclose in relation to this Item.

Item 4. Other Business Activities

Flagship Harbor is required to disclose information regarding any investment-related business or occupation in which Nathan Waller is actively engaged.

1. **Registered Representative of LPL Financial Corporation**. Nathan Waller is a registered representative of LPL Financial Corporation ("LPL"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Nathan Waller in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.

2. **Conflict of Interest**. The recommendation by Nathan Waller that a client purchase a securities commission product presents a **conflict of interest**, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Nathan Waller. Clients are reminded that they may purchase investment products recommended by Nathan Waller is through other, non-affiliated broker dealers. **Flagship Harbor's Chief Compliance Officer, John Sawyer, remains available to**

address any questions that a client or prospective client may have regarding the above conflict of interest.

3. **Commissions**. In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Nathan Waller. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Nathan Waller is separate and apart from Flagship Harbor's investment management services discussed in Flagship Harbor's Brochure.

4. **Pinnacle Insurance & Financial Services**. Nathan Waller has general agency for fixed insurance products as a producer.

5. **Shepard Financial** is the 'doing business as' organization under which Nathan Waller conducts his advisory services.

Item 5. Additional Compensation

Flagship Harbor is required to disclose information regarding any arrangement under which Nathan Waller receives an economic benefit from someone other than a client for providing investment advisory services. Flagship Harbor has no information to disclose in relation to this Item. Other than the compensation disclosed in Item 4, there is no additional compensation to disclose.

Item 6. Supervision

John Sawyer, the firm's Chief Compliance Officer, is generally responsible for Nathan Waller's advisory activities on behalf of Flagship Harbor. The telephone number to reach Mr. Sawyer is (857) 366-4982.

Flagship Harbor supervises its personnel and the investments made in client accounts. Flagship Harbor monitors the investments recommended by Nathan Waller to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. Flagship Harbor periodically reviews the advisory activities of Nathan Waller, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received.