

**Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
September 2016**

**James Edward Harris
Southwestern Advisory Group LLC**

**105 East Road
Stephenville, TX 76401
Office: (254) 968-6428**

**400 Pine Street, Suite 750
Abilene, TX 79601
Phone: (325) 232-6880**

www.southwesternadvisorygroup.com

This brochure supplement provides information about James E. Harris that supplements our brochure. You should have received a copy of that brochure. Please contact Cole Gilliam Parks, Chief Compliance Officer if you did not receive Southwestern Advisory Group's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Harris is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #4004078.

Item 2: Educational Background & Business Experience

James Edward Harris

Year of Birth: 1953

Educational Background:

- 1981: University of Texas Dental School, DDS
- 1975: Texas Tech University, Zoology, BA

Business Background:

- 03/2016 – Present Southwestern Advisory Group LLC:
Investment Adviser Representative
- 03/2016 – Present Purshe Kaplan Sterling Investments, Inc.; Registered Representative
- 08/2014 – 03/2016 Ameriprise Financial Services, Para planner
- 09/2010 – 11/2014 First Allied Advisory Services, Inc.;
Investment Adviser Representative
- 02/2005 – 10/2010 Greenbook Investment Management, Inc.;
Investment Adviser Representative

Exams, Licenses & Other Professional Designations:

- 10/2014: Series 7
- 11/1999: Series 66
- 04/1987: Texas Insurance License

Item 3: Disciplinary Information

Civil Judicial Disclosure:

Civil Litigation was filed in Gray County, Texas in July, 2008, alleging fraud, negligent misrepresentation, violation of Texas Insurance Code, violation of Texas Deceptive Trade Practices Act, unjust enrichment, breach of fiduciary duty, negligence/malpractice. Mr. Harris denied all of the plaintiff's allegations. When the plan offered by Mr. Harris was initially implemented by the Plaintiff, the plan was in compliance with IRS rules. Two years later, the IRS changed the plan regulations, creating a conflict. The parties resolved this complaint without any admission of liability or any judgment. The parties determined that it was in their interest to settle the complaint in order to avoid the expenses associated with litigation. Mr. Harris contributed \$38,750 toward the settlement.

Bond/Judicial Lien Disclosure:

In June, 2008, an IRS lien was filed in Taylor County, Texas, in conjunction with an installment agreement to pay outstanding income tax liability. Expanded personal expenses lead to the necessity for installments. The term of the installment agreement is sixty months.

Item 4: Other Business Activities

Mr. Harris is a registered representative of Pursue Kaplan Sterling Investments, Inc., member FINRA/SIPC, and licensed insurance agent. As a result of these transactions, he may receive normal and customary commissions. A conflict of interest exists as these commissionable securities sales create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Harris will act in the client's best interest.

Item 5: Additional Compensation

Mr. Harris does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Cole Gilliam Parks, Chief Compliance Officer of Southwestern Advisory Group, LLC, supervises and monitors Mr. Harris' activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Parks if you have any questions about Mr. Harris' brochure supplement at (254) 968- 6428.

Item 7: Requirements for State-Registered Advisers

Mr. Harris has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.