

**Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
February 2017**

**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](http://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](http://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. The parties resolved this complaint without any admission of liability or any judgment.

### **Bond/Judicial Lien Disclosure:**

In June 2008, September 2011, and October 2011 an IRS lien was filed in Taylor County, Texas, in conjunction with an installment agreement to pay outstanding income tax liability.

#### **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.