

BROCHURE SUPPLEMENT

Stephanie Allison Harris
Gary Scott Harris
Preston James Vaught

S. Harris Financial Group, LLC
14414 Blanco Rd, Ste. 220
San Antonio, TX 78216
Phone: 210-547-3450
Fax: 210-547-3451
Website: www.SHarrisFinancial.com
September 15, 2016

This brochure supplement provides information about the officers and employees of S. Harris Financial Group, LLC that supplements the firm's brochure. All of our officers and employees work from our primary address listed above. If you have any questions about the contents of the brochure or this supplement, please contact us at 210-547-3450 and/or stephanie@SHarrisFinancial.com or Scott@SHarrisFinancial.com.

Additional information about any of our officers or employees is available on the SEC's website at www.adviserinfo.sec.gov.

Stephanie Allison Harris (DOB 1974)

Investment Adviser Representative / Financial Planner

Item 2 – Educational Background and Business Experience

Education:

B.S. in Applied Mathematics, 1995, Texas A&M University, College Station, Texas

Employment:

Employer	Title	Term
S. Harris Financial Group, LLC (formerly HarrisMartin Financial)	Financial Planner/IAR	2010-Present
Raymond James Financial Services, Inc.	Financial Advisor	2002-Present
Padgett Financial Services, LLC	Financial Planner /IAR	2002-2010
PricewaterhouseCoopers, L.L.P	Manager	1997-2002
Watson Wyatt Worldwide	Actuarial Consultant	1996-1997

Professional Designation:

Certified Financial Planner™(CFP®), 1999

Certified Financial Planner Board of Standards, Washington, DC

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk

management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Certified Divorce Financial Analyst® (CDFA™), 2014
Institute for Divorce Financial Analysts (IDFA), Durham, NC

The CDFA™ designation is available to individuals who have a minimum of three years' experience as a financial professional, accountant, or matrimonial lawyer.

To earn the designation, the participant must complete a series of self-study course modules and pass an exam for each module. Modules One, Two and Three each conclude with a two-hour 100 question multiple choice examination. Module Four concludes with a comprehensive case-study exam consisting of 50 multiple-choice questions. The Module topics are: Financial and Legal Issues of Divorce; Advanced Financial Issues of Divorce; Tax Issues of Divorce; and Working as a CDFA: Case Studies.

To acquire the designation, a candidate must successfully pass all exams (modules) with a minimum score of 70% for each one and be in good standing with their Broker Dealer (if applicable) and the FINRA/SEC or other licensing or regulatory agency. To retain the CDFA designation and to remain in good standing with the IDFA, the designation holder must also obtain 15 divorce-related hours of continuing education every two years.

Item 3 – Disciplinary Information

Stephanie Allison Harris has no legal or disciplinary events to report.

Item 4 – Other Business Activities

Securities Brokerage

Mrs. Harris, in her individual capacity as Registered Representatives of Raymond James Financial Services, Inc. (RJFS), may be paid fees and/or commissions on securities transactions.

Fee and/or commission charges may vary depending upon any number of factors, including type of security, purchase or sale, secondary market price, volume of trading, market float, and traded or listed exchange. SHFG believes that commissions charged by RJFS are competitive with other full service broker-dealers and that they are fair and reasonable. Commissions charged by RJFS, while generally competitive, are not necessarily the lowest in the industry. Brokerage transactions are placed only through RJFS.

There is an inherent potential conflict of interest in this arrangement in that SHFG through its IARs or related persons who are registered representatives of RJFS may share in a percentage of the brokerage commissions. This conflict of interest is mitigated by our fiduciary obligation to seek best execution and by our code of ethics.

Insurance Broker/Agent

Mrs. Harris may have insurance company affiliations from which she receives commissions. Clients are under no obligation to execute recommendations relating to insurance and/or annuity products through SHFG.

S. Harris Ventures, LLC

Mrs. Harris is an owner of S. Harris Ventures, LLC, an asset holding company.

Item 5 – Additional Compensation

Mrs. Harris does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 – Supervision

SHFG maintains a culture of compliance which applies to all officers and employees of the firm. In general, we function as a team such that information and/or advice provided to clients is reviewed and discussed as a team prior to presentation to the client and its subsequent implementation. We are set up such that at least two members of the firm are required to implement a strategy for a client.

Mrs. Harris is the chief compliance officer and may be contacted via the phone number on the cover page of this brochure supplement.

Item 7 – Requirements for State-Registered Advisers

Mrs. Harris has not been found liable in an arbitration proceeding, civil, self-regulatory organization, or administrative proceeding. Mrs. Harris has not been the subject of a bankruptcy petition.

Gary Scott Harris (DOB 1973)

Operations Officer

Item 2 – Educational Background and Business Experience

Education:

B.B.A. Business Analysis with a concentration in Management Information Systems, 1995, Texas A&M University, College Station, TX

M.B.A., 2006, University of Texas at San Antonio, San Antonio, TX

Business Strategy Certification, 2011, Harvard University, Boston, MA

Employment:

Employer	Title	Term
S. Harris Financial Group, LLC (formerly HarrisMartin Financial)	Operations Officer	2015– Present
Raymond James Financial Services, Inc.	Operations Officer	2015 - Present
USAA	Executive Director, Treasury Management and Enterprise Strategy	2003 –2015
Self	Business Owner / Consultant	2001-2003
Ernst & Young LLP	Consulting Manager	1997-2001
Coopers & Lybrand LLP	Sr. Consultant	1997 – 1997
SHL Systemhouse	Consultant	1996-1997

Item 3 – Disciplinary Information

Mr. Harris has no legal or disciplinary events to report.

Item 4 – Other Business Activities

Securities Brokerage

Mr. Harris, in his individual capacity as Registered Representatives of Raymond James Financial Services, Inc. (RJFS), may be paid fees and/or commissions on securities transactions.

Fee and/or commission charges may vary depending upon any number of factors, including type of security, purchase or sale, secondary market price, volume of trading, market float, and traded or listed exchange. SHFG believes that commissions charged by RJFS are competitive with other full service broker-dealers and that they are fair and reasonable. Commissions charged by RJFS, while generally competitive, are not necessarily the lowest in the industry. Brokerage transactions are placed only through RJFS.

There is an inherent potential conflict of interest in this arrangement in that SHFG through its IARs or related persons who are registered representatives of RJFS may share in a percentage of the brokerage commissions. This conflict of interest is mitigated by our fiduciary obligation to seek best execution and by our code of ethics.

S. Harris Ventures, LLC

Mr. Harris is an owner of S. Harris Ventures, LLC, an asset holding company.

Harris Ventures and Advisory

Mr. Harris owns Harris Ventures and Advisory, a business advisory firm. Harris Ventures and Advisory is a start-up and small businesses advisory that consults on business development, efficiencies and business structure. This business is not affiliated with S. Harris Financial Group, LLC.

Item 5 – Additional Compensation

Mr. Harris does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 – Supervision

SHFG maintains a culture of compliance which applies to all officers and employees of the firm. In general, we function as a team such that information and/or advice provided to clients is reviewed and discussed as a team prior to presentation to the client and its subsequent implementation. We are set up such that at least two members of the firm are required to implement a strategy for a client.

Stephanie Allison Harris is the chief compliance officer and may be contacted via the phone number on the cover page of this brochure supplement.

Item 7 – Requirements for State-Registered Advisers

Mr. Harris has not been found liable in an arbitration proceeding, civil, self-regulatory organization, or administrative proceeding. Mr. Harris has not been the subject of a bankruptcy petition.

Preston James Vaught (DOB 1990)

Financial Planning Associate

Item 2 – Educational Background and Business Experience

Education:

B.S. in Economics, 2014, Texas A&M University, College Station, TX

Employment:

Employer	Title	Term
S. Harris Financial Group, LLC (formerly HarrisMartin Financial)	Financial Planning Associate	2016– Present
Raymond James Financial Services, Inc.	Financial Planning Associate	2016 - Present
Edward Jones	Financial Advisor	2015-2016
Allstate	Sales Associate	2015
USAA	Insurance Services Associate	2014
Northcliffe Golf Club	Clubhouse Manager	2014
AT&T	Sales Associate	2011-2012
Texas A&M University	Student	2009-2014
Byron P. Steele High School	Student	2005-2009

Item 3 – Disciplinary Information

Mr. Vaught has no legal or disciplinary events to report.

Item 4 – Other Business Activities

Securities Brokerage

Mr. Vaught, in his individual capacity as Registered Representatives of Raymond James Financial Services, Inc. (RJFS), may be paid fees and/or commissions on securities transactions.

Fee and/or commission charges may vary depending upon any number of factors, including type of security, purchase or sale, secondary market price, volume of trading, market float, and traded or listed exchange. SHFG believes that commissions charged by RJFS are competitive with other full service broker-dealers and that they are fair and reasonable. Commissions charged by RJFS, while generally competitive, are not necessarily the lowest in the industry. Brokerage transactions are placed only through RJFS.

There is an inherent potential conflict of interest in this arrangement in that SHFG through its IARs or related persons who are registered representatives of RJFS may share

in a percentage of the brokerage commissions. This conflict of interest is mitigated by our fiduciary obligation to seek best execution and by our code of ethics.

Insurance Broker/Agent

Mr. Vaught may have insurance company affiliations from which he receives commissions. Clients are under no obligation to execute recommendations relating to insurance and/or annuity products through SHFG.

Mr. Vaught has no other outside business activities.

Item 5 – Additional Compensation

Mr. Vaught does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 – Supervision

SHFG maintains a culture of compliance which applies to all officers and employees of the firm. In general, we function as a team such that information and/or advice provided to clients is reviewed and discussed as a team prior to presentation to the client and its subsequent implementation. We are set up such that at least two members of the firm are required to implement a strategy for a client.

Stephanie Allison Harris is the chief compliance officer and may be contacted via the phone number on the cover page of this brochure supplement.

Item 7 – Requirements for State-Registered Advisers

Mr. Vaught has not been found liable in an arbitration proceeding, civil, self-regulatory organization, or administrative proceeding. Mr. Vaught has not been the subject of a bankruptcy petition.