



## Part 2A of Form ADV

### ITEM 1

#### Cover Page

JW Harrison Financial, Inc.  
1655 N. Main Street, Suite 390  
Walnut Creek, CA 94596

(925) 271-5521

[info@jwharrison.com](mailto:info@jwharrison.com)

[jwharrison.com](http://jwharrison.com)

December 31, 2017

This brochure provides information about the qualifications and business practices of JW Harrison Financial, Inc.

If you have any questions about the contents of this brochure, please contact us at (925) 271-5521 or [info@jwharrison.com](mailto:info@jwharrison.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.

Additional Information about JW Harrison Financial, Inc. also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

JW Harrison Financial, Inc., is a Registered Investment Advisor in the State of California. Please note that registration does not imply a certain level of skill or training.

### ITEM 2

#### MATERIAL CHANGES

Material changes to this ADV include updates to the amount of assets managed.



**ITEM 3**  
**TABLE OF CONTENTS**

Items 1&2	Cover Page and Material Changes since Our Last Annual Update
Item 3	Table of Contents
Item 4	Advisory Business <ul style="list-style-type: none"><li>A. Description of our business</li><li>B. Description of advisory services we offer</li><li>C. If or how, we tailor our advisory services to your individual needs</li><li>D. Wrap fee programs</li><li>E. Amount of assets we manage</li></ul>
Item 5	Fees and Compensation <ul style="list-style-type: none"><li>A. How we are compensated</li><li>B. How our fees are paid</li><li>C. Other types of fees</li><li>D. Whether we charge fees in advance</li><li>E. Whether we get compensated (commissions) for the sale of securities</li></ul>
Item 6	Performance-Based Fees and Side-By-Side Management
Item 7	Types of Clients
Item 8	Methods of Analysis, Investment Strategies and Risk of Loss <ul style="list-style-type: none"><li>A. Our analysis &amp; strategies</li><li>B. Material risks involved in our analysis or strategies</li><li>C. Whether we recommend primarily a particular type of security</li></ul>
Item 9	Disciplinary Information <ul style="list-style-type: none"><li>A. Criminal or civil actions</li><li>B. Administrative proceedings before The SEC or any other government agency</li><li>C. Any self-regulatory organization (SRO) proceedings</li></ul>
Item 10	Other Financial Industry Activities and Affiliations <ul style="list-style-type: none"><li>A. Whether we are registered representatives of a securities broker/dealer</li><li>B. Whether we are a futures commissions merchant, commodity pool operator or commodity trading advisor</li><li>C. Whether we have other financial relationships or arrangements material to our business</li><li>D. Whether we recommend other registered investment advisors and receive compensation</li></ul>
Item 11	Code of Ethics, Participation or Interest in Client Transactions and Personal Trading <ul style="list-style-type: none"><li>A. Our Code of Ethics</li><li>B. Whether we have any material interests in investments we recommend</li><li>C. Whether we invest in securities we recommend to you</li><li>D. Whether we buy or sell securities for our own account about the same time we buy the same securities for your account</li></ul>



- Item 12      Brokerage Practices
  - A. Research and other soft dollar benefits
    - a. Soft dollars
    - b. Brokerage for client referrals
    - c. Directed brokerage
  
- Item 13      Review of Accounts
  - A. Frequency and nature of reviews
  - B. Reviews on an other than periodic basis
  - C. Client reports
  
- Item 14      Client Referrals and Other Compensation
  - A. Whether we get economic benefits from a non-client for providing certain advice to you
  - B. Whether we pay for client referrals
  
- Item 15      Custody
  
- Item 16      Investment Discretion
  
- Item 17      Voting Client Securities
  - A. Whether we accept authority to vote client securities
  - B. Whether we have the authority to vote client securities, disclose that fact
  
- Item 18      Financial Information
  - A. Whether we require prepayment of fees of more than \$500/ more than 6 months in advance
  - B. If we require such prepayment, or have custody or discretion, is there any impairment to give you refund, if necessary
  - C. Bankruptcy
  
- Item 19      Additional Requirements for State- Registered Advisors
  - A. Our educational & business backgrounds
  - B. Any other business activities
  - C. Performance-based fees
  - D. Any issues with events listed below
    - a. Arbitration
    - b. Civil, SRO or administrative proceedings
  - E. Whether we have any relationships with an issuer of securities



**ITEM 4  
ADVISORY BUSINESS**

***A. Description of our business***

JW Harrison Financial, Inc., has been a Registered Investment Advisor in California since 2011. Joseph W. Harrison is the sole owner.

***B. Description of advisory services we offer***

JW Harrison Financial, Inc., is and has always been a small firm specializing in financial planning and portfolio management.

Financial planning includes tax planning, insurance planning, retirement planning and estate planning. Financial planning services may include consultations and/or written financial plans, which analyze your financial situation and make appropriate recommendations for strategies and methods of implementation of the strategies.

NOTE: The client is under no obligation to act upon the investment advisor's recommendations; if the client elects to act upon any of the recommendations, the client is under no obligation to affect the transaction through the investment advisor.

In managing client portfolios, we manage accounts on a discretionary basis. We use only general securities (stocks & bonds), mutual funds (including exchange traded funds or ETFs), government securities and options.

When managing client portfolios, we will take under consideration the client's broader financial situation, which includes employment status, cash reserves, retirement account values, current age, anticipated retirement date, other sources of income as well as their personal tolerance for risk and volatility. With this information, we assist clients with developing an appropriate investment strategy. We monitor and adjust the client portfolios in accordance with the agreed upon investment strategy.

If you want to invest in what are often referred to as "alternative investments" such as commodities, managed futures, private equity, currency or hedge funds, we will help you select and monitor other money managers investing in alternative investments. We chose the other money managers based on their relative costs, skills, reputation, dependability and compatibility with our clients, and not upon any financial arrangement with JW Harrison Financial, Inc., and Joe Harrison.

NOTE: All material conflicts of interest under CCR Section 260.238 (k) are disclosed regarding the investment advisor, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.

***C. If, or how we tailor our advisory services to your individual needs***

The situation and needs of each individual are unique, so we tailor our services based on your individual hopes, goals and dreams. Then we analyze your current investments and make suggestions on how to achieve those. Of course, you may impose restrictions on investing in certain securities or types of securities. It is your portfolio, after all.

***D. Wrap fee programs***

JW Harrison Financial, Inc., does not participate in wrap-fee programs.

***E. Amount of assets we manage***

JW Harrison Financial, Inc., currently has \$90mm under management.



## ITEM 5 FEES & COMPENSATION

### ***A. How we are compensated***

We are a fee-only (as opposed to fee-based or commission-based) financial planning and asset management firm. As such, we receive compensation from the individuals we're advising — not the investment funds, products, companies, or other professionals we might be recommending.

Every individual can benefit from some level of financial advice, planning or management help. For that reason, we work with clients under one of two arrangements:

- **Financial Planning and Investment Management:** Under this arrangement, clients receive ongoing, comprehensive financial planning, individually-tailored asset management, and advice and assistance around any financial-related topics that might arise. Our services are charged at an annual fee which typically begins at 1.0% of assets under management, and which decreases as the managed asset amount increases. Clients under this arrangement typically have at least \$750,000 of assets to be managed. The fee will be based on the average daily value of the Client's investment accounts under management for a given quarter, and will be paid quarterly, in arrears (after the end of each quarter). Quarters are calendar-based: January 1 – March 31; April 1 – June 30; July 1 – September 30; October 1 – December 31. The Client may prefer to have the fee withdrawn from the Client's account(s). This will only be permitted when the Client authorizes the agreement in writing; the advisor sends the bill to both the Client and custodian at the same time; the bill shows the amount of the fee, how it was calculated and the value of the assets upon which the bill is based; and at least quarterly, the custodian notifies the Client how much has been paid to the advisor.
- **Consultations and Advice:** We recognize that many individuals simply need a finite amount of financial advice or are less interested in ongoing assistance and management. Under this arrangement, we consult with clients at an hourly rate of \$300 per hour, with a two-hour minimum. For clients under this arrangement who are interested in having a customized broad-based or modular Financial Plan developed, the cost to do so generally ranges between \$3,000 and \$5,000, depending on the level complexity.

NOTE: Lower fees for comparable services may be available from other sources.

### ***B. How our fees are paid***

Clients may prefer to have our fee withdrawn from their account(s). With your signed permission on a Limited Power of Attorney, we can have your custodian withdraw our fees for managing your account at the end of each quarter. Hourly fees are billed at the end of the month they were incurred. For written financial plans, the fee is due upon presentation of the plan.

### ***C. Other types of fees***

Our fees do not include transaction fees, brokerage commissions and other related costs and expenses, which you will pay. You may also pay fees charged by your custodian, mutual funds and other money managers, including: management fees, custodial fees, mutual fund fees, taxes and transfer fees. We do not receive a portion of any of these fees. Simply put, they are a necessary part of doing business in the securities industry.

### ***D. Do we charge in advance?***

We do not charge any fees in advance.



***E. Do we get compensated (commissions) for the sales of securities?***

No one at JW Harrison Financial, Inc., accepts commissions or any other form of compensation for selling you securities or other investment products. No one at JW Harrison Financial, Inc., has a securities license.

**ITEM 6  
PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT**

JW Harrison Financial, Inc., does not charge performance-based fees and therefore does not engage in side-by-side management comparison.

**ITEM 7  
TYPES OF CLIENTS**

Most of our clients are individuals; many are high net worth individuals. We also work with businesses & corporations, charities and small pension clients.

**ITEM 8  
METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS**

***A. Our analysis & strategies***

We don't do technical security analysis. We do fundamental security analysis of a business, which involves analyzing its financial statements & health, its management & competitive advantages, and its competitors & markets. Fundamental analysis is performed on historical & present data, but with the goal of making financial forecasts, including stock price evolution, projection of business performance, management evaluations and credit risks.

We primarily read financial newspapers and magazines (including The Wall Street Journal, Bloomberg BusinessWeek, Morningstar, Financial Planning, and Financial Advisor).

We also study corporate rating services such as Standard & Poor's, Moody's, and Fitch.

We leverage multiple on-line resources, including:

- Morningstar
- Bloomberg
- WSJ.com
- Barrons.com
- Seeking Alpha
- Fortune
- Google Finance
- Yahoo Finance

YOU SHOULD BE AWARE THAT INVESTING IN SECURITIES INVOLVES RISK OF LOSS THAT YOU SHOULD BE PREPARED TO BEAR. THE FIRST DECADE OF THE 21ST CENTURY SHOULD HAVE PROVEN THAT.



***B. Material risks involved in our analysis or strategies***

We feel our investment strategy is fairly conservative and we don't believe it involves significant or unusual risks. For example, we do not engage in frequent trading of securities as that can affect investment performance, particularly through increased brokerage and other transaction costs and taxes.

***C. Do we recommend primarily a particular type of security?***

As mentioned earlier, we place client accounts in general securities (stocks & bonds), mutual funds, government securities and options, none of which are customarily considered to involve significant or unusual risk. But, as noted above, investing in securities ALWAYS INVOLVES RISKS.

**ITEM 9  
DISCIPLINARY INFORMATION**

***A. Criminal or civil actions***

Neither Joseph W. (Joe) Harrison nor Bryan Hasling has ever had any criminal or civil actions.

***B. Administrative proceeding before The SEC or any other government agency***

Neither Joe Harrison nor Bryan Hasling has ever had any administrative proceedings before The SEC or any government agency.

***C. Any self-regulatory organization (SRO) proceedings***

Neither Joseph W. (Joe) Harrison nor Bryan Hasling has ever had any self-regulatory organization (SRO) proceedings.

**ITEM 10  
OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS**

***A. Are we registered representatives of a securities broker/dealer?***

No one at JW Harrison Financial, Inc., is or has any intention of becoming a securities broker/dealer or a securities registered representative.

***B. Are we a futures commission merchant, commodity pool operator or a commodity trading advisor?***

No one at JW Harrison Financial, Inc., is or has any intention of becoming a futures commission merchant, a commodity pool operator, a commodity trading advisor or an associated person of the above-mentioned 3 entities.

***C. Do we have any other financial relationships or arrangements that are material to our business?***

No, we have no other financial relationships or arrangements. We are a FEE ONLY firm.

***D. Do we recommend other registered investment advisors and receive compensation***

As noted in Item 5, on occasion, JW Harrison Financial, Inc., recommends other money managers (licensed or notice filed with the State of California) to our clients. They are typically firms that specialize in investments we do not manage, primarily "alternative investments" like commodities or currency. This helps diversify your investments. We



chose the other money managers based on their relative costs, skills, reputation, dependability and compatibility with our clients, and NOT upon any financial arrangement between JW Harrison Financial, Inc., and Joe Harrison.

**ITEM 11  
CODE OF ETHICS, PARTICIPATION OR INTEREST  
IN CLIENT TRANSACTIONS AND PERSONAL TRADING**

***A. Describe our Code of Ethics***

Our Code of Ethics establishes ideals for ethical conduct based upon fundamental principles of openness, integrity & trust. It ensures that we always put your interests first. We hold ourselves to high standards and diligence. Taken as a whole, our Code of Ethics is our promise to work hard in your interests, with complete confidentiality and honesty. We will immediately provide a copy of our Code of Ethics to any client or prospective client upon request.

***B. Do we have any material financial interests in investments we recommend?***

We will not recommend an investment to you in which we have a material financial interest. We do not act as a principal and buy securities from, or sell securities to clients. We are not general partners in a partnership so we will not solicit your investments for such. We are not investment advisors to any investment company, so we will not solicit your investments for such.

***C. Do we invest in securities we recommend to you?***

On occasion, we may buy or sell securities we recommend to you. We have found over the years that clients like to invest in the same investments we do. That makes sense. If we like it for ourselves, why shouldn't our clients like it too, always depending on their investment goals, objectives and time frame? We feel that there is a negligible conflict of interest in owning the same securities as we recommend to you because the securities we recommend are widely held and publicly traded and we are too small to affect the market in widely held and publicly traded securities.

***D. Do we buy or sell securities about the same time as you?***

No. In addition, we do not allow "front running" (buying or selling before you), or buying or selling securities contemporaneously with you. And since the fees the other money managers charge vary somewhat, we cannot detail them here. Their fees will be fully disclosed when we describe money managers we feel would be appropriate for you. However, their fees (which includes our portion of the fee) should not exceed 2% per year.

**ITEM 12  
BROKERAGE PRACTICES**

***A. Describe the factors we used in selecting a custodian for you***

We have selected a custodian based on its:

- Costs: Among the best in the world of custodians
- Skills: Very few mistakes so far





- Reputation: Others that use them have sworn by them. That's very important.
- Dependability: Rarely a problem
- Compatibility: This custodian deals mainly with independent RIAs like us.

#### 1. Soft dollars

We don't do "soft dollars". It is difficult to define, but a good example would be if a custodian offered us research or other benefits to place our clients with them.

#### 2. Brokerage for client referrals

We don't do "brokerage for client referrals". By that we mean we haven't selected our custodian on the basis that it will send us other client referrals in exchange for your custodial business.

#### 3. Directed brokerage

We don't do "directed brokerage". That means we don't recommend, request or require that you direct us to execute transactions through a specified broker/dealer. If we did it, we may be unable to achieve favorable execution of trades and it would cost you money.

### ***B. Aggregating client accounts***

We rarely have the opportunity to "aggregate" the purchase or sale of securities for you. We don't engage in high volume trading (a practice which saves you money). More importantly, all our clients are different in age, size of portfolio, wants & needs and risk taking, so there is very little overlap in our client portfolios.

## **ITEM 13 REVIEW OF ACCOUNTS**

### ***A. Frequency & nature of reviews***

We review managed accounts at least weekly. We review financial planning accounts at least quarterly. Accounts at other money managers are reviewed when we receive their statements- usually quarterly. All accounts are reviewed on a portfolio analysis basis.

### ***B. Reviews on an other-than-periodic basis***

On occasions, such as a dramatic market move (in either direction), retirement or any catastrophe, we review client accounts to ascertain if we need to make appropriate repositioning moves for you.

### ***C. Client reports***

While we do prepare regular client summaries, your official account statements come from your custodian (e.g, Charles Schwab). Your custodian sends your account statements, transaction confirmations, all applicable tax documents, required minimum distributions from any qualified plans, and proxy documents, including ballots and any communication from public companies. In addition, you also receive statements from any mutual funds you may own and other money managers you may utilize.



**ITEM 14  
CLIENT REFERRALS AND OTHER COMPENSATION**

***A. Do we get economic benefits from a non-client for providing certain advice to you?***

No. In addition, we do not accept sales awards or other prizes, such as trips. We pay for our own trips.

***B. Do we pay for client referrals?***

We do not pay for client referrals.

**ITEM 15  
CUSTODY**

JW Harrison Financial, Inc., never takes custody of client funds and/or securities. Clients may prefer to have our fee withdrawn from their account(s). This will only be permitted when the client authorizes the agreement in writing; the advisor sends the bill to both the client and custodian at the same time; the bill shows the amount of the fee, how it was calculated and the value of the assets upon which the bill is based; and at least quarterly, the custodian notifies the client how much has been paid to the advisor.

**ITEM 16  
INVESTMENT DISCRETION**

We manage our clients' accounts on a discretionary basis. We are a firm built on relationships not transactions. You may tell us any limitations you'd want on your account. For example, some clients prefer that we not invest in gambling, tobacco or alcohol-based securities.

In order for you to have an account with us, we must first have you authorize it with a Limited Power of Attorney, which your custodian provides to you. Before executing the power of attorney, the custodian insures that your signed contract with us authorizes us to have certain privileges and these are then initialed on your new account form. You may authorize us to open the account, authorize us to manage your account with discretion or not, authorize us to receive duplicate confirmations & statements and authorize the custodian to deduct our fees from your account.

**ITEM 17  
VOTING CLIENT SECURITIES**

***A. Do we accept authority to vote client securities?***

We do not vote client securities.

***B. If we do not have that authority, disclose that fact***

We do not have the authority to vote client securities. You will receive your proxies or other solicitations directly from your custodian and we encourage you to discuss them with your legal representatives as we are not in a position to answer questions regarding proxies.



**ITEM 18  
FINANCIAL INFORMATION**

***A. Do we require prepayment of fees of more than \$500 more than 6 months in advance?***

No, we do not require prepayment of fees of more than \$500 more than 6 months in advance.

***B. If we require such prepayment, or have custody or discretion, is there any impairment for us to make a refund, if necessary?***

Not applicable.

***C. Bankruptcy***

Neither Joseph W. (Joe) Harrison, Bryan Hasling, nor JW Harrison Financial, Inc., has ever filed for bankruptcy.

**ITEM 19  
REQUIREMENTS FOR STATE REGISTERED ADVISORS**

***A. Our education & business backgrounds***

The Principal Officer of JW Harrison Financial, Inc., is Joseph W. (Joe) Harrison, President. Joe Harrison was born in 1971. He has a BA in economics and a BA in German, both from Wake Forest University in 1994. He completed the Boston University Program for Financial Planners in 2011. He is a CFP® professional. From 2001 to 2011, he was an executive at Wells Fargo & Company. During the 5 years ending 2011 he was senior vice president of strategy, analytics & business development at Wells Fargo & Company. (He was NOT a registered representative with a broker/dealer.)

Bryan Hasling, an Associate Financial Planner, was born in 1989 and graduated with a B.S. in Personal Financial Planning and minor in Economics from Texas Tech University, located in Lubbock, Texas. Before graduation, he was required to serve an internship in the financial planning industry, which he served in Fort Worth, Texas, at a fee-based Registered Investment Advisor that catered to high-net worth individuals and business owners. The undergraduate program made Bryan eligible to sit for the CFP® exam, and he has successfully passed the exam as of November 2014. Bryan also holds the Series 65 license which allows him to provide investment advice services to non-institutional clients.

***B. Any other business activities***

None.

***C. Performance-based fees***

JW Harrison Financial, Inc., does not charge performance-based fees.

***D-1. Arbitration***

Neither Joe Harrison nor Bryan Hasling has ever been involved in arbitration of any kind.



***D-2. Civil or administrative proceedings***

Neither Joe Harrison nor Bryan Hasling has ever been found liable in a civil, self-regulatory organization, or administrative proceeding of any kind.

***E. Relationship with issuer of securities***

We do not have any relationships with issuers of securities.



**Part 2B of Form ADV:  
Brochure Supplement for Joseph W. Harrison**

**Item 1**

**Cover Page**

**JW Harrison Financial, Inc.  
1655 N. Main Street, Suite 390  
Walnut Creek, CA 94596**

**(925) 271-5521  
joe@jwharrison.com  
jwharrison.com**

**December 31, 2017**

This brochure supplement provides information about Joseph W. (Joe) Harrison that supplements the JW Harrison Financial, Inc. brochure. You should have received a copy of that brochure.

Please contact Joe Harrison, president of JW Harrison Financial, Inc. if you did not receive Joe Harrison's brochure, or if you have any questions about the contents of this supplement.

Additional information about Joe Harrison is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2**

**Educational Background and Business Experience**

Joe Harrison has a BA in economics and a BA in German, both from Wake Forest University, where he graduated *magna cum laude*. He completed the Boston University Program for Financial Planners in 2011. He is a CFP® professional with over two decades of experience across finance, analytics, strategy and personal financial planning.

**Item 3**

**Disciplinary Information**

***A. Criminal or civil action in domestic, foreign or military court***

Joe Harrison has never had any criminal or civil action in domestic, foreign or military court.



***B. Administrative proceeding before the SEC or any other federal or state regulatory agency.***

Joe Harrison has never had any administrative proceeding before the SEC or any other federal or state regulatory agency.

***C. Proceeding before a self-regulatory organization (SRO).***

Joe Harrison has never had any proceeding before a self-regulatory organization (SRO).

***D. Proceeding in which professional attainment, designation or license was revoked or suspended.***

Joe Harrison has never had any proceeding in which professional attainment, designation or license was revoked or suspended.

**Item 4**

**Other Business Activities**

***A. Actively engaged in any investment related business or occupation.***

Joe Harrison is not actively engaged in any other investment related business or occupation.

***B. Actively engaged in any other business or occupation.***

Joe Harrison is not actively engaged in any other business or occupation.

**Item 5**

**Additional Compensation**

Does Joe Harrison get an economic benefit from a non-client for providing advisory services?

No, Joe Harrison does not get any economic benefit from a non-client for providing advisory services.

**Item 6**

**Supervision**

As the Principal and owner of JW Harrison Financial, Inc., Joe Harrison has no direct supervisor. However, he does adhere to all regulations and compliance requirements associated with his position. Joe will scrupulously handle your financial planning & investment advisory needs on a highly personalized basis. He very much values and appreciates your trust in him.



**Item 7**  
**Requirements for State Registered Advisors**

***A. Has Joe Harrison been involved in:***

1. An arbitration claim alleging damages in excess of \$2,500.

No, Joe Harrison has not been involved in any arbitration claim alleging damages in excess of \$2,500.

2. Being found liable in a civil, SRO or administrative proceeding.

No, Joe Harrison has not been found liable in a civil, SRO or administrative proceeding.

***B. Bankruptcy.***

No, Joe Harrison has never been involved in any bankruptcy.



**Part 2B of Form ADV:  
Brochure Supplement for Bryan Hasling**

**Item 1**

**Cover Page**

**JW Harrison Financial, Inc.  
1655 N. Main Street, Suite 390  
Walnut Creek, CA 94596**

**(925) 271-5521  
info@jwharrison.com  
jwharrison.com**

**December 31, 2017**

This brochure supplement provides information about Bryan Hasling that supplements the JW Harrison Financial, Inc. brochure. You should have received a copy of that brochure. Please contact Bryan Hasling, president of JW Harrison Financial, Inc. if you did not receive Bryan Hasling's brochure, or if you have any questions about the contents of this supplement.

Additional information about Bryan Hasling is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2**

**Educational Background and Business Experience**

Bryan Hasling was born in 1989 and graduated with a B.S. in Personal Financial Planning and minor in Economics from Texas Tech University, located in Lubbock, Texas. Bryan holds the CFP® and EA (Enrolled Agent) designations, as well as the Series 65 license.

**Item 3**

**Disciplinary Information**

***A. Criminal or civil action in domestic, foreign or military court***

Bryan Hasling has never had any criminal or civil action in domestic, foreign or military court.





***B. Administrative proceeding before the SEC or any other federal or state regulatory agency.***

Bryan Hasling has never had any administrative proceeding before the SEC or any other federal or state regulatory agency.

***C. Proceeding before a self-regulatory organization (SRO).***

Bryan Hasling has never had any proceeding before a self-regulatory organization (SRO).

***D. Proceeding in which professional attainment, designation or license was revoked or suspended.***

Bryan Hasling has never had any proceeding in which professional attainment, designation or license was revoked or suspended.

**Item 4**

**Other Business Activities**

***A. Actively engaged in any investment related business or occupation.***

Bryan Hasling is not actively engaged in any other investment related business or occupation.

***B. Actively engaged in any other business or occupation.***

Bryan Hasling is not actively engaged in any other business or occupation.

**Item 5**

**Additional Compensation**

Does Bryan Hasling get an economic benefit from a non-client for providing advisory services?

No, Bryan Hasling does not get any economic benefit from a non-client for providing advisory services.

**Item 6**

**Supervision**

Bryan Hasling's supervisor is Joseph W. Harrison, the Principal of JW Harrison Financial Advisors.

**Requirements for State Registered Advisors**



**A. Has Bryan Hasling been involved in:**

1. An arbitration claim alleging damages in excess of \$2,500.

No, Bryan Hasling has not been involved in any arbitration claim alleging damages in excess of \$2,500.

2. Being found liable in a civil, SRO or administrative proceeding.

No, Bryan Hasling has not been found liable in a civil, SRO or administrative proceeding.

**B. Bankruptcy.**

No, Bryan Hasling has never been involved in any bankruptcy.