

**Item 1- Cover Page** 

## Harold L. Harris

2413 W Algonquin Road, Suite 506

Algonquin, IL 60102

847-459-8800

Harold.Harris@SmartMoneyFin.com

https://www.smartmoneyfin.com/

# TLG Advisors, Inc.

26 W Dry Creek Circle, Suite 800

Littleton, CO 80120

888-371-0013

www.tlgadvisors.net

### March 2019

This Brochure Supplement provides information about Harold L. Harris that supplements the TLG Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact TLG Advisors, Inc. if you did not receive TLG Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about Harold L. Harris is available on the SEC's website at <u>www.adviserinfo.sec.gov</u>.

### **Item 2- Educational Background and Business Experience**

Mr. Harris has been in the financial services industry for over 30 years. He is a Chartered Life Underwriter (CLU), a Chartered Financial Consultant (ChFC), and holds the FINRA Series 7 and



24 securities registrations. Mr. Harris was born in 1952 and graduated from the University of Illinois, Champaign. He also earned an MBA from Roosevelt University in Chicago.

#### **Item 3- Disciplinary Information**

Registered investment advisers are required to disclose all relevant facts about any legal or disciplinary issues that you need to know about before deciding to invest your money with them. Mr. Harris has no such issues on his record.

#### **Item 4- Other Business Activities**

Mr. Harris may be involved in the sale of commission-based products, such as insurance or annuities, as a registered representative of The Leaders Group, Inc., a FINRA-registered broker-dealer. Whenever you purchase one of these products, you will be fully advised of how he will be paid. He is affiliated with Smart Money Financial.

#### **Item 5- Additional Compensation**

Mr. Harris provides investment-planning advice to his customers on a fee basis. In addition, he may receive compensation from the activities detailed in Item 4 above.

#### **Item 6 - Supervision**

We supervise our investment advisor representatives in the following ways:

- Compare activity in your account with your investment objectives;
- Ensure that your financial information and investment objectives have been recorded;
- Confirm that you are contacted annually to find out if there are any changes in your financial information or investment objectives;
- Verify that you receive quarterly statements;
- Make sure your advisory fees are being charged correctly;
- Ensure that we comply with your wishes concerning directed brokerage arrangements;
- Check to see if you are invested in securities that don't match your risk tolerance.

Advisory representatives are supervised by Jane Riley, TLG Advisors, Inc. Chief Compliance Officer. She may be reached at 888-371-0013, or <u>compliance@tlqadvisors.net</u>.