

## FORM ADV PART 2B BROCHURE SUPPLEMENT

Justin C. Farris

### **Item 1 – Cover Page**

Justin C. Farris  
Farris Capital Management Inc.  
15400 Knoll Trail Dr, Suite 350  
Dallas, TX 75248  
Main Office Phone: 214-525-2140  
Direct Line: 214-525-2141  
www.farriscap.com

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**This brochure supplement provides information about Justin Farris that supplements the Farris Capital Management Inc. (“Farris Capital Management”) disclosure brochure. You should have received a copy of that brochure. Please contact Justin Farris at 214-525-2141 or at [justin@farriscap.com](mailto:justin@farriscap.com) if you did not receive Farris Capital Management’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Justin Farris is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

#### **Justin C. Farris**

Born: 1981  
CRD # 4725738

#### ***Post Secondary Educational Background:***

Rice University, Bachelor of Arts in Economics: 2003

#### ***Business Background:***

Farris Capital Management Inc., Investment Advisor Representative/CCO/Managing Member,  
08/2013 to Present;  
Farris Capital Management Inc., Owner, 09/2011 to Present;  
Securities America, Inc., Investment Advisor Representative, Registered Representative, 04/2010  
to 03/2018;  
Raymond James & Associates Inc., Investment Advisor Representative, 11/2004 to 04/2010.

#### ***Professional Designations***

#### **Certified Financial Planner (CFP)**

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. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

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 one day over two 3-hour sessions, 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*, a set of documents outlining the ethical and practice standards for CFP® professionals.

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*, to maintain competence and keep up with developments in the financial planning field; 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. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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.

CFP Acknowledgment: Justin Farris acknowledges his responsibility as a CFP® Certificant to adhere to the standards that have been established in the CFP Board’s Standards of Professional Conduct. If you

become aware that Justin Farris' conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### ***Code of Ethics for CFP***

The following disclosure has been included in the COE section (Item 11) of the ADV Part 2A.

In addition to abiding by our Code of Ethics, some of our representatives are Certified Financial Planners™ (CFP®) and also abide by the Code of Ethics and Responsibility Code of the Certified Financial Planner™ Board of Standards, Inc. The Code of Ethics and Responsibility Code requires CFP® designees to not only comply with all applicable laws and regulations but to also act in an ethical and professional responsible manner in all professional services and activities. The principles guiding CFP® designees are:

- Integrity
- Objectivity
- Competence (in providing services and maintaining knowledge and skills to do so)
- Fairness (to clients, principals, partners and employers and disclosing any conflicts of interest in providing services)
- Confidentiality (keeping all client information confidential without the specific client consent unless in response to legal process or in defense of charges of wrongdoing or civil dispute)
- Professionalism
- Diligence

You can obtain a copy of the Code of Ethics and Responsibility Code by requesting a copy from one of our representatives.

### **Item 3 – Disciplinary Information**

Justin Farris has no legal or disciplinary events to report.

### **Item 4 – Other Business Activities**

#### **Insurance Agent**

Justin Farris is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, Justin Farris will receive commissions for selling insurance and annuity products.

Justin Farris may also receive other incentive awards for the recommendation/sale of annuities and other insurance products. The receipt of compensation and other incentive benefits may affect the judgment of Justin Farris when recommending products to its clients. While Justin Farris endeavors at all times to put the interest of his clients first as a part of Farris Capital Management's overall fiduciary duty to clients, clients should be aware that the receipt of commissions and additional compensation itself creates a conflict of interest and may affect Justin Farris's decision-making process when making recommendations.

Clients are never obligated or required to purchase insurance products from or through Justin Farris and may choose any independent insurance agent and insurance company to purchase insurance products. Regardless of the insurance agent selected, the insurance agent or agency will receive normal commissions from the sale.

#### **Item 5 – Additional Compensation**

In addition to the description of additional compensation provided in Item 4, Justin Farris can receive additional benefits.

Certain product sponsors may provide Justin Farris with other economic benefits as a result of his recommendation or sale of the product sponsors' investments. The economic benefits received by Justin Farris from product sponsors can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist Justin Farris in providing various services to clients.

Although Farris Capital Management and Justin Farris endeavor at all times to put the interest of its clients ahead of its own or those of its officers, directors, or representatives ("affiliated persons"), these arrangements could affect the judgment of Justin Farris when recommending investment products. These situations present a conflict of interest that may affect the judgment of affiliated persons including Justin Farris.

#### **Item 6 – Supervision**

Justin Farris is the Chief Compliance Officer of Farris Capital Management. He is responsible for overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives. Justin Farris can be contacted at 214-525-2141.

#### **Item 7 – Requirements for State-Registered Advisers**

Justin Farris has not been involved in an arbitration award and has not been found liable in an arbitration claim alleging damages in excess of \$2,500. He has not been involved in any award or found liable in any civil, self-regulatory organization, or administrative proceeding. Additionally, he has not been the subject of a bankruptcy petition.