

Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
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Cole Gilliam Parks



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This brochure supplement provides information about Cole Gilliam Parks that supplements our brochure. You should have received a copy of that brochure. Please contact Cole Gilliam Parks 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. Parks is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #4941163.



## Item 2: Educational Background & Business Experience

Cole Gilliam Parks  
Year of Birth: 1985

### Business Background:

- 03/2016 – Present Southwestern Advisory Group; President/Shareholder, Chief Compliance Officer, and Investment Adviser Representative
- 03/2016 – 12/2019 Purshe Kaplan Sterling Investments, Inc.; Registered Representative
- 12/2011 – 03/2016 Southwestern Advisory Group, a financial advisory practice or Ameriprise Financial Services, Inc.; Financial Advisor
- 12/2011 – 12/2015 Ameriprise Financial Services, Inc.; Franchise Consultant
- 01/2006 – 11/2011 Parks and Associates, a financial advisory practice or Ameriprise Financial Services, Inc.; Associate Financial Advisor
- 03/2005 – 12/2005 Mamantov and Associates, a financial advisory practice of Ameriprise Financial Services, Inc.; Internship

### Exams, Licenses & Other Professional Designations:

- 05/2009: Series 66

## Item 3: Disciplinary Information

There are no legal or disciplinary events material to the evaluation of Mr. Parks.

## Item 4: Other Business Activities

To be fully comprehensive of the solutions the firm can recommend, Mr. Parks is licensed as an insurance agent and/or registered representative of a broker-dealer. Recommendations made under the authority of these licenses, such as insurance(s) or investment product(s), could generate a sales commission to our firm.

These insurance product sales create a potential conflict of interest because the commissioned paid to the agent/broker, from the recommendation of these specific insurance products, could create an additional incentive to the advisor for making these recommendations; thus, potentially violating their fiduciary duty.



Mr. Parks, is REQUIRED to disclose all commissions the firm may receive, in an actual dollarized value, prior to any commissionable recommendation being presented to you. The firm will also apply ALL revenue delivered from any commissioned sale to a retainer account with Southwestern Advisory Group, which could prevent the need for the firm to invoice you for billable hours or travel reimbursements until that "commission credit" is depleted. You are also welcome, and invited, to request that Southwestern directly pay invoices from tax and legal advisors regarding your case with these credits.

To assist in the avoidance of any potential conflicts of interest regarding commissionable product sales, Mr. Parks DOES NOT possess, or exercise, any discretion with respect to client transactions that could generate a commissionable product sale. Mr. Parks is not, and will not, be incentivized - monetarily or through gifts - to recommend transactions that could generate a commissionable product sale by our firm, third-party custodian(s), investment advisor(s), investment product manufacturer(s), investment product distributor(s), retirement plan sponsor(s), broker-dealer(s) or insurance carrier(s).

Mr. Parks is also the President of Southwestern Financial Group Inc. (SwFG). SwFG is the parent company of Southwestern Advisory Group, Southwestern Asset Management, Southwestern Farm capital, Southwestern Capital Markets, and Southwestern Management Services. Southwestern also invests directly in publicly traded securities, private equity, commodities, and real estate. As detailed below, he invests the majority of his time on these activity's during market hours.

Southwestern Asset Management is a real estate investment sponsor. Mr. Parks invest approximately ten (10) per week on this activity during market hours; which is included in the time dedicated to SwFG.

Southwestern Farm Capital is a real estate investment firm. Mr. Parks invest approximately ten (10) hours per week on this activity during market hours; which is also included in the time dedicated to SwFG.

Chisholm Trail Development acquires and redevelops historical buildings in rural Texas. Mr. Parks might invest a couple hours per week on this activity during market hours; however, it is primarily a hobby performed in his spare time outside market hours.

VID Leasing acquires, owns, and leases depreciable assets to its sibling companies at Southwestern, Southwestern employees, and select third-party clientele. Mr. Parks might invest a couple hours per week on this activity during market hours, but most of these activities are performed outside the office and regular market hours.

Bar Diamond Bar needs is a holding company for the agricultural investments of Southwestern Group. Mr. Parks might invest a couple hours per week on this activity during market hours; however, it is primarily a hobby performed in his spare time outside market hours.

Southwestern Management Services is a company that offers third-party business management services such as payroll, bookkeeping, human resources, etc. Mr. Parks might invest a couple hours per week on this activity during market hours, but most of these activities are performed outside of regular market hours.

Mr. Parks is also a member of First Baptist Church, Ancient Free & Accepted Masons, National Sporting Clays Association, Stephenville Evening Lions Club, and on the board of the Southwestern Foundation. These activities take up an unnoticeable amount of his time during trading hours. His duties in these activities pertain exclusively to service, fellowship, amateur competition, and altruism.



### Item 5: Additional Compensation

Mr. Parks does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### Item 6: Supervision

Mr. Parks is the firm's sole owner and Chief Compliance Officer and has no internal supervision placed over him. He is, however, bound by his fiduciary duty and our firm's Code of Ethics.

### Item 7: Requirements for State-Registered Advisers

Cole Gilliam Parks has never been involved in any arbitration claim. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceedings, nor has he been the subject of any bankruptcy petitions.