

Item 1- Cover Page



Oak Harvest Investment Services, LLC  
7670 Woodway Drive  
Suite 165  
Houston, TX 77063

Tel: (281) 822-1350

Fax: (281) 822-1355

[www.oakharvestfg.com](http://www.oakharvestfg.com)

Form ADV Part 2B

Brochure Supplement

December 21, 2017

Troy R. Sharpe, CFP®, RFC®  
President/Chief Compliance Officer  
Investment Advisor Representative

This brochure provides information about Troy R. Sharpe that supplements Oak Harvest Investment Services, LLC Form ADV Part 2A firm brochure. You should have received a copy of that brochure. Please contact Mr. Sharpe at (281) 822-1350 if you did not receive the full brochure or if you have any questions about the contents of this supplement. Additional information about Troy R. Sharpe is available on the Securities and Exchange Commission's (SEC) website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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

Regulatory guidance requires the firm to disclose relevant post-secondary education and professional training for each principal executive and associate of the firm, as well as their business experience for at least the most recent five years.

### **Principal Executive Officers and Management Persons**

*President/Managing Member/Chief Compliance Officer/Investment Advisor Representative*

Troy Robert Sharpe  
Year of Birth: 1980  
CRD Number: 6408500

### **Educational Background and Business Experience**

#### *Educational Background*

CERTIFIED FINANCIAL PLANNER Professional, Certified Financial Planner Board of Standards, Inc.

CERTIFIED FINANCIAL PLANNER Graduate Certificate Program  
Susanne M. Glasscock School of Continuing Studies, Rice University; Houston, TX

Registered Financial Consultant (RFC)  
International Association of Registered Financial Consultants

Bachelor of Science in Finance  
Florida State University; Tallahassee, FL

Uniform Investment Adviser Law Exam<sup>3</sup>/NASAA Series 65

Licensed Insurance Agent<sup>3</sup>/Texas Department of Insurance

### **Business Experience**

Oak Harvest Financial Group, LLC (09/2010-Present) Houston, TX  
President/Managing Member

Oak Harvest Investment Services, LLC (09/2014-Present) Houston, TX  
President (09/2009-Present)  
Chief Compliance Officer/Investment Advisor Representative (10/2014-Present)

Oak Harvest Insurance Services, LLC (04/2012-Present) Houston, TX  
President/Agent

Sharpe Financial Strategies, LLC (06/2008-Present) Houston, TX  
President

**Item 3 - Disciplinary Information**

Registered investment advisors are required to disclose certain material facts about its associated personnel regarding any legal or disciplinary events, including criminal or civil action in a domestic, foreign or military court, or any proceeding before a state, federal or foreign regulatory agency, self-regulatory organization, or suspension or sanction by a professional association for violation of its conduct rules, that would be material to your evaluation of each officer or a supervised person providing investment advice. Mr. Sharpe has not been the subject of an event requiring disclosure under current guidelines.

**Item 4 - Other Business Activities**

Investment advisor representatives are required to disclose outside business activities that account for a significant portion of their time or income, or that may present a conflict of interest with their advisory activities.

Mr. Sharpe is a licensed insurance agent and is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies where he may receive a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. This activity involves 33% or less of his time during traditional business hours each month. He will disclose (in advance of a transaction or service) the capacity in which he is serving a client, to include the conflict of interest the role or service to be provided may incur. The potential for the receipt of commissions and other compensation may give an associate an incentive to offer a recommendation based on the compensation he/she may receive rather than on the client's needs. Notwithstanding this issue, both Mr. Sharpe and Oak Harvest Investment Services take their responsibilities seriously and only intend to recommend investments, insurance or advisory services believed appropriate for the client.

Mr. Sharpe is the President and Managing Member of Oak Harvest Financial Group, LLC; the holding company of Oak Harvest Investment Services, LLC and Oak Harvest Insurance Services, LLC. He may receive income from revenue generated from both of these entities. This activity involves 34% or less of his time during traditional business hours each month.

Mr. Sharpe is the President of Sharpe Financial Strategies, LLC; a closely held entity used for the purpose of the personal income and expenses. Mr. Sharpe consults for high-net worth clients, this activity involves less than 34% of his time each month and normally occurs during regular business hours.

Mr. Sharpe is not registered, nor has an application pending to register, as a registered representative of a broker/dealer or associated person of a futures commission merchant, commodity pool operator, or commodity trading advisor. He does not receive commissions, bonuses or other compensation based on the sale of securities, including that as a registered representative of a broker/dealer or the distribution or service ("trail") fees from the sale of mutual funds. Mr. Sharpe and our advisory firm do not have a material relationship with the issuer of a security.

Mr. Sharpe is a member of the Financial Planning Association of Houston (FPA®).

**Item 5 -Additional Compensation**

Neither our advisory firm nor Mr. Sharpe is compensated for advisory services involving performance-based fees. In addition, except as otherwise disclosed in ADV Part 2A Items 5, 10, 11, and 14, our firm policy does not allow associated persons to accept or receive additional economic benefits, such as sales awards or other prizes, for providing advisory services to firm clients.

Mr. Sharpe has received compensation from insurance carriers and/or wholesalers in the form of trips, training sessions, profit sharing and overrides.

**Item 6 - Supervision**

Mr. Sharpe serves as the firm's Chief Compliance Officer. Because supervising one's self poses a conflict of interest, the firm has adopted policies and procedures to mitigate this conflict, and may use the services of unaffiliated professionals to ensure the firm's oversight obligations are met. Questions relative to the firm, its services or this Form ADV Part 2B may be made to the attention of Mr. Sharpe at (281) 822-1350.

Additional information about the firm, other advisory firms, or an associated investment advisor representative is available on the internet at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). A search of this site for firms may be accomplished by firm name or a unique firm identifier, known as an IARD or CRD number. The CRD number for Oak Harvest Investment Services, LLC is 173293. The business and disciplinary history, if any, of an investment advisory firm and its representatives may be obtained by calling the Texas State Securities Board at (512) 305-8300.

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

There have been neither awards nor sanctions or other matter where Mr. Sharpe or Oak Harvest Investment Services has been found liable in an arbitration, self-regulatory or administrative proceeding. Neither Mr. Sharpe nor Oak Harvest Investment Services has been the subject of a bankruptcy petition.

Mr. Sharpe had been the subject of reportable financial compromises during the period 2009 to 2011. Further details about this matter may be found by viewing his Form U-4 disclosure section at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may search Mr. Sharpe by name or his CRD number which is 6408500. It is not believed that this matter negatively reflects upon his ability to manage the firm or serve its clients.

## Information about Professional Designations/ Education

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 62,000 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 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.

The Registered Financial Consultant (RFC®) is a professional designation awarded by the International Association of Registered Financial Consultants (IARFC) to those financial advisors who can meet the high standards of education, experience and integrity that are required of all its members. The IARFC is an organization of proven financial professionals formed to foster public confidence in the financial planning profession, to help financial advisors exchange planning techniques, and to give deserved recognition to those practitioners who are truly qualified and committed to professional education. The IARFC financial planning professional association requires its members to meet seven stringent requirements: Education, Examination, Experience, Licensing, Business Integrity, Adherence to a strict code of ethics, and Maintenance of proficiency with a minimum of 40 hours per year of continuing education in the field of financial planning. The IARFC is convinced that extensive on-going professional education is required for an advisor to serve the public effectively. The primary goal of the IARFC is to provide the public with a pool of well-qualified practitioners from which to choose a personal advisor. The IARFC accomplishes this by limiting the RFC designation only to those applicants who meet its high standards of qualification. It removes the designation from anyone who fails to maintain proficiency through substantial continuing education, or who betrays the public trust by failing to live up to its Code of Ethics or by having a professional license revoked or suspended for any reason. A computer bank of members

and their qualifications is maintained to provide the general public with the names, addresses and phone numbers of the nearest Registered Financial Consultants. This service is available to any interested party through the IARFC website: [www.IARFC.org](http://www.IARFC.org)

Financial Industry Regulatory Authority (FINRA), North American Securities Administrators Association (NASAA) and state insurance examinations are "criterion based;" candidates who pass the exam are considered to have met the minimum competency level. The completion of an industry examination does not constitute or imply a person is "approved" or "endorsed" by a state, federal or industry regulatory body.

***This brochure supplement provides information about Jessica Cannella Sharpe that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Jessica Cannella Sharpe if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.***

***Additional information about Jessica Cannella Sharpe is also available on the SEC's website***

# **Oak Harvest Investment Services**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Jessica Cannella Sharpe**

Personal CRD Number: 6912937

Investment Adviser Representative

Oak Harvest Investment Services  
7670 Woodway Drive Suite 165  
Houston, TX 77063  
(281) 822-1350  
jessica@oakharvestfg.com

UPDATED: 02/09/2018

## Item 2: Educational Background and Business Experience

**Name:** Jessica Cannella Sharpe                      **Born:** 1986

### Educational Background and Professional Designations:

#### Education:

Jessica Cannella Sharpe has not received any higher education degrees after high school.

### Business Background:

02/2018 – Present	Investment Adviser Representative Oak Harvest Financial Group
09/2010 - Present	President Oak Harvest Financial Group
12/2006 - 07/2010	Marketing Allstate Insurance

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

Jessica Cannella Sharpe is not engaged in any investment-related business or occupation (other than this advisory firm).



### **Item 5: Additional Compensation**

Jessica Cannella Sharpe does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Jessica Cannella Sharpe is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Jessica Cannella Sharpe adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Jessica Cannella Sharpe has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.

Jessica Cannella Sharpe has NOT been the subject of a bankruptcy petition in the past ten years.

*This brochure supplement provides information about Luis Ricardo Leon that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Luis Ricardo Leon if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Luis Ricardo Leon is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **Oak Harvest Investment Services**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Luis Ricardo Leon**

Personal CRD Number: 2140002

Investment Adviser Representative

Oak Harvest Investment Services  
7670 Woodway Drive Suite 165  
Houston, TX 77063  
(281) 822-1350  
[luis@oakharvestfg.com](mailto:luis@oakharvestfg.com)

UPDATED: 01/25/2018

## Item 2: Educational Background and Business Experience

**Name:** Luis Ricardo Leon                      **Born:** 1967

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelor of Arts Economics, The University of Texas at Austin - 1990

#### **Business Background:**

09/2016 - Present	Investment Adviser Representative Oak Harvest Investment Services
09/2016 - Present	Lead Retirement Consultant Oak Harvest Investment Services
11/2012 - 09/2016	Financial Advisor New York Life
06/2011 - 11/2012	Unemployed Unemployed
03/2011 - 06/2011	SVP Private Banking Banco Santander International
01/2006 - 03/2011	Regional Director SVP Wells Fargo

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

#### **Item 4: Other Business Activities**

Luis Ricardo Leon is not engaged in any investment-related business or occupation (other than this advisory firm).

#### **Item 5: Additional Compensation**

Luis Ricardo Leon does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

#### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Luis Ricardo Leon is supervised by Troy R Sharpe, the firm's Chief Compliance Officer. Troy R Sharpe is responsible for ensuring that Luis Ricardo Leon adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy R Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Luis Ricardo Leon has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. Luis Ricardo Leon has NOT been the subject of a bankruptcy petition in the past ten years.

*This brochure supplement provides information about Jared Donald Kenney that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Jared Donald Kenney if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Jared Donald Kenney is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Oak Harvest Investment Services**

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Jared Donald Kenney**

Personal CRD Number: 5365512

Investment Adviser Representative

Oak Harvest Investment Services  
7670 WOODWAY DRIVE, SUITE 165  
HOUSTON, TX 77063  
(281) 822-1350  
[jared@oakharvestfg.com](mailto:jared@oakharvestfg.com)

UPDATED: 04/13/2017

## Item 2: Educational Background and Business Experience

**Name:** Jared Donald Kenney      **Born:** 1984

### Educational Background and Professional Designations:

#### Education:

Jared Donald Kenney has not received any higher education degrees after high school.

### Business Background:

03/2017 - Present	Investment Adviser Representative Oak Harvest Investment Services
03/2017 - Present	Retirement Consultant Oak Harvest Financial Group
12/2015 - 03/2017	Advisor/Owner NettWorth Financial Group
05/2010 - 12/2015	Vice President Spartan Wealth Management, LLC
03/2006 - 04/2010	VP Brokerage Operations Goheen Financial Group, LP

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

Jared Donald Kenney is not engaged in any investment-related business or occupation (other than this advisory firm).



### **Item 5: Additional Compensation**

Jared Donald Kenney does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Jared Donald Kenney is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Jared Donald Kenney adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Jared Donald Kenney has NOT been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. Jared Donald Kenney has NOT been the subject of a bankruptcy petition in the past ten years.

*This brochure supplement provides information about Andrea Gortmaker that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Andrea Gortmaker if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.*

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

## **Oak Harvest Investment Services**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Andrea Gortmaker**

Personal CRD Number: 6568331

Investment Adviser Representative

Oak Harvest Investment Services  
7670 Woodway Drive, Suite 165  
Houston, TX 77063  
(281) 822-1350  
[andrea@oakharvestfg.com](mailto:andrea@oakharvestfg.com)

UPDATED: 02/02/2018

## Item 2: Educational Background and Business Experience

**Name:** Andrea Gortmaker                      **Born:** 1983

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelors Biology, Baylor University - 2006

#### **Business Background:**

01/2018 - Present	Investment Adviser Representative Oak Harvest Investment Services
02/2016 - 01/2018	Unemployed
08/2016 - 02/2017	Safety Coordinator Era Helicopters
07/2016 - 08/2016	Unemployed
10/2015 - 04/2016	Financial Advisor Trainee Edward Jones
05/2015 - 10/2015	Unemployed
09/2010 - 04/2015	Customer Support FlightSafety International
09/2009 - 09/2010	Academic Advisor San Jacinto College
02/2009 - 09/2009	Unemployed
01/2008 - 02/2009	Applications Biologist Sentry Air Systems

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Andrea Gortmaker is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Andrea Gortmaker does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Andrea Gortmaker is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Andrea Gortmaker adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- C. Andrea Gortmaker has NOT been involved in any of the events listed below.
3. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - f) an investment or an investment-related business or activity;
    - g) fraud, false statement(s), or omissions;
    - h) theft, embezzlement, or other wrongful taking of property;
    - i) bribery, forgery, counterfeiting, or extortion; or
    - j) dishonest, unfair, or unethical practices.
  4. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - f) an investment or an investment-related business or activity;
    - g) fraud, false statement(s), or omissions;
    - h) theft, embezzlement, or other wrongful taking of property;
    - i) bribery, forgery, counterfeiting, or extortion; or
    - j) dishonest, unfair, or unethical practices.
- D. Andrea Gortmaker has NOT been the subject of a bankruptcy petition in the last ten years.

*This brochure supplement provides information about James Andrew McFarland that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact James Andrew McFarland if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.*

*Additional information about James Andrew McFarland is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Oak Harvest Investment Services**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **James Andrew McFarland**

Personal CRD Number: 6782963

Investment Adviser Representative

Oak Harvest Investment Services

7670 Woodway Drive, Suite 165

Houston, TX 77063

(281) 822-1350

[james@oakharvestfg.com](mailto:james@oakharvestfg.com)

UPDATED: 03/01/2018

## Item 2: Educational Background and Business Experience

**Name:** James Andrew McFarland                      **Born:** 1981

### **Educational Background and Professional Designations:**

#### **Education:**

Master of International Business  
Sophia University - 2012, Tokyo, Japan

Japanese Language Certificate  
Tokyo University of Foreign Studies - 2009, Tokyo, Japan

Bachelor of Arts in Political Science  
Houston Baptist University - 2004, Houston, TX

Bachelor of Arts in Christianity  
Houston Baptist University - 2004, Houston TX

Uniform Investment Advisor Law Exam/NASAA Series 65

Securities & Derivatives Sales License/JSDA

#### **Business Background:**

12/2016 - Present	Investment Adviser Representative Oak Harvest Investment Services
12/2016 - Present	Portfolio Manager/Head Trader Oak Harvest Financial Group
08/2016 - 12/2016	Director Morgan Stanley
10/2014 - 08/2016	Management Consultant, Financial Services PricewaterhouseCoopers
01/2013 - 10/2014	Institutional Sales Trader Nissan Securities



08/2011 - 09/2011	Internship Goldman Sachs
03/2009 - 10/2012	Student
12/2006 - 03/2009	Prefectural Manager Pioneer Schools Japan

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

James Andrew McFarland is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

James Andrew McFarland does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, James Andrew McFarland is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that James Andrew McFarland adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- E. James Andrew McFarland has NOT been involved in any of the events listed below.
5. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
- k) an investment or an investment-related business or activity;
  - l) fraud, false statement(s), or omissions;
  - m) theft, embezzlement, or other wrongful taking of property;
  - n) bribery, forgery, counterfeiting, or extortion; or
  - o) dishonest, unfair, or unethical practices.
6. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
- k) an investment or an investment-related business or activity;
  - l) fraud, false statement(s), or omissions;
  - m) theft, embezzlement, or other wrongful taking of property;
  - n) bribery, forgery, counterfeiting, or extortion; or
  - o) dishonest, unfair, or unethical practices.
- F. James Andrew McFarland has NOT been the subject of a bankruptcy petition in the past ten years.

*This brochure supplement provides information about Christopher Tran Myrick that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Christopher Tran Myrick if you did not receive Oak Harvest Investment Services's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Christopher Tran Myrick is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Oak Harvest Investment Services**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Christopher Tran Myrick**

Personal CRD Number: 6779072

Investment Adviser Representative

Oak Harvest Investment Services  
7670 Woodway Drive Suite 165  
Houston, TX 77063  
(281) 822-1350  
[chris@oakharvestfg.com](mailto:chris@oakharvestfg.com)

UPDATED: 03/01/2018

## Item 2: Educational Background and Business Experience

**Name:** Christopher Tran Myrick                      **Born:** 1985

### Educational Background and Professional Designations:

#### Education:

Master of Business Administration Finance, University of Houston - 2011  
 Bachelor of Business Administration Finance, University of Houston - 2008

### Business Background:

12/2016 - Present	Investment Adviser Representative Oak Harvest Investment Services
12/2013 - Present	Lead Case Design Oak Harvest Financial Group
03/2007 - 12/2013	Client Associate / Teller JPMorgan Chase

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

Christopher Tran Myrick is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Christopher Tran Myrick does not receive any economic benefit from any person, company, or organization, other than Oak Harvest Investment Services in exchange for providing clients advisory services through Oak Harvest Investment Services.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Christopher Tran Myrick is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Christopher Tran Myrick adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Troy Sharpe is (281) 822-1350.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- G. Christopher Tran Myrick has NOT been involved in any of the events listed below.
7. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
- p) an investment or an investment-related business or activity;
  - q) fraud, false statement(s), or omissions;
  - r) theft, embezzlement, or other wrongful taking of property;
  - s) bribery, forgery, counterfeiting, or extortion; or
  - t) dishonest, unfair, or unethical practices.
8. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
- p) an investment or an investment-related business or activity;
  - q) fraud, false statement(s), or omissions;
  - r) theft, embezzlement, or other wrongful taking of property;
  - s) bribery, forgery, counterfeiting, or extortion; or
  - t) dishonest, unfair, or unethical practices.
- H. Christopher Tran Myrick has NOT been the subject of a bankruptcy petition in the last ten years.