



Oak Harvest Investment Services, LLC  
920 Memorial City Way,  
Suite 150  
Houston, TX 77024

Tel: (281) 822-1350

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

Form ADV Part 2B

Brochure Supplement

October 01, 2019

Troy R. Sharpe, CFP®, RFC®

Chief Executive Officer/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**

*Chief Executive Officer/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**

OHFG Ventures, LP President (5/2018- Present)

OHFG Management, Inc. President (5/2018-Present)

Oak Harvest Investment Services, LLC (09/2014-Present) Houston, TX  
CEO/CCO/Investment Advisor Representative (10/2014-Present)

Oak Harvest Financial Group, PLLC (09/2010-Present) Houston, TX, CEO

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

Troy Sharpe Consulting, LLC (5/2018-Present) Managing Member

Sharpe Financial Strategies, LLC (06/2008-5/2018) Houston, TX, Managing Member

### **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 the CEO of Oak Harvest Insurance Services and is a licensed insurance agent. He 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 OHFG Ventures, LP and OHFG Management, Inc, the owning companies 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% of less of his time during traditional business hours each month.

Mr. Sharpe is President and Managing Member of Troy Sharpe Consulting, LLC; a closely held entity used for the purpose of personal income and expenses. Mr. Sharpe consults for high-net worth clients, and 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**

Other than salary, annual bonuses, or regular bonuses, Mr. Sharpe does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Oak Harvest.

### **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.

### **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' 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 at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **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  
920 Memorial City Way, Suite 150  
Houston, TX 77024  
(281) 822-1350  
[jessica@oakharvestfg.com](mailto:jessica@oakharvestfg.com)

**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**

Mrs. Sharpe receives compensation from Oak Harvest Insurance Services. Mrs. Sharpe is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies where she 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. Mrs. Sharpe will disclose (in advance of a transaction or service) the capacity in which she 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 Mrs. Sharpe an incentive to offer a recommendation based on the compensation she may receive rather than on the client's needs. Notwithstanding this issue, both Mrs. 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.

Mrs. Sharpe is a partner of OHFG Ventures, LP, the entity which owns Oak Harvest Investment Services, and a minority owner of OHFG Management, Inc., the entity which owns OHFG Ventures, LP. She may receive income from revenue generated from both of these entities. This

activity involves 34% or less of her time during traditional business hours each month.

**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.



*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' 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  
920 Memorial City Way, Suite 150  
Houston, TX 77024  
(281) 822-1350  
[jared@oakharvestfg.com](mailto:jared@oakharvestfg.com)

## 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

Mr. Kenney receives compensation from Oak Harvest Insurance Services. Mr. Kenney 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. Mr. Kenney 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 Mr. Kenney an incentive to offer a recommendation based on the compensation he may receive rather than on the client's needs. Notwithstanding this issue, both Mr. Kenney and Oak Harvest Investment Services take their responsibilities seriously and only intend to recommend investments, insurance or advisory services believed appropriate for the client.

#### **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.

*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' 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  
920 Memorial City Way, Suite 150  
Houston, TX 77024  
(281) 822-1350  
[james@oakharvestfg.com](mailto:james@oakharvestfg.com)

## Item 2: Educational Background and Business Experience

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

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

#### **Education:**

Master's in 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.

*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' 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  
920 Memorial City Way, Suite 150  
Houston, TX 77024  
(281) 822-1350  
[chris@oakharvestfg.com](mailto:chris@oakharvestfg.com)

## 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.



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

*Additional information about Chris Perras 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*  
**Chris Perras**  
Personal CRD Number: 2401654  
Investment Adviser Representative

Oak Harvest Investment Services  
920 Memorial City Way, Suite 150  
Houston, TX 77024  
(281) 822-1350  
[Cperras@oakharvestfg.com](mailto:Cperras@oakharvestfg.com)

## Item 2: Educational Background and Business Experience

**Name:** Chris Perras      **Born:** 1965

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

#### **Education:**

MBA Business admin, Harvard - 1993

Bs electrical engineering Electrical engineering, Georgia institute of tech - 1988

#### **Designations:**

##### **CFA – Chartered Financial Analyst**

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

##### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

##### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

##### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment

topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

## **Business Background:**

10/2017 - Present	Trader Self employed
04/2014 - 10/2017	CIO Mosac advisors
01/2009 - 04/2014	Self employed Trading
06/2002 - 12/2012	Partner and Portfolio Manager DG Capital
06/2008 - 12/2009	Portfolio Manager Citadel investments

### **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**

Mr. Perras receives compensation from Oak Harvest Insurance Services. Mr. Perras 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. Mr. Perras 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 Mr. Perras an incentive to offer a recommendation based on the compensation he may receive rather than on the client's needs. Notwithstanding this issue, both Mr. Perras and Oak Harvest Investment Services take their responsibilities seriously and only intend to recommend investments, insurance or advisory services believed appropriate for the client.

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

Chris Perras 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, Chris Perras is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Chris Perras 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.