



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

Tel: (281) 822-1350

Fax: (281) 822-1355

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

Form ADV Part 2B

Brochure Supplement

July 21, 2020

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/ 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**

Troy Robert Sharpe is CEO of Oak Harvest Insurance Services and is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. This activity involves 34% or less of his time during traditional business hours each month. Mr. Sharpe is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

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.

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

Mr. Sharpe is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. He receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

### **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)

Updated: March 4, 2020

## 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 a licensed insurance agent. From time to time, she will offer clients advice or products from those activities. This activity involves 34% or less of her time during traditional business hours each month. Ms. Sharpe is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

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

Ms. Sharpe is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. She receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

## 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)  
Updated: March 4, 2020

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

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

### **Educational Background and Professional**

#### **Designations:**

#### **NSSA® – National Social Security Advisor Certification - 2018**

The National Social Security Advisor Certification is a professional designation granted in the United States by the National Social Security Association, Inc.

The NSSA® Certification is a voluntary certification; no federal or state law or regulation requires this certification. The NSSA® Certificate Program is a nationally recognized standard of competent and ethical Social Security planning education and training.

It is accredited in the United States by The Institute in Credentialing Excellence (ICE) in December 2017. NSSA® is the only accredited Social Security education program in the United States.

To attain the right to use the NSSA® Certification designation, an individual must complete the program's educational training and complete an assessment with a passing grade of above 79%.

NSSA® renewal is every two years. Cost is \$395 for two years or \$1,000 lifetime. Eight hours of Continuing Education (CE) is required to renew.

#### **Education:**

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

#### **Business Background:**

01/2020 – Present	Vice President Oak Harvest Investment Services
03/2017 - Present	Investment Adviser Representative Oak Harvest Investment Services
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 Kenney is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. This activity involves 33% or less of his time during traditional business hours each month. Mr. Kenney is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

Jared Kenney is the owner/president at WildAggie Studios, LLC.

**Item 5: Additional Compensation**

Jared Kenney is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. He receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

**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)  
Updated: October 8, 2019

## 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 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's 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  
7670 WOODWAY DRIVE SUITE 165  
HOUSTON, TX 77063  
(281) 822-1350  
[Cperras@oakharvestfg.com](mailto:Cperras@oakharvestfg.com)

UPDATED: 03/04/2020

## 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, 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:**

04/2018 – Present	Chief Investment Officer Oak Harvest Investment Services
04/2018 – Present	Investment Advisor Representative Oak Harvest Investment Services
10/2017 – 04/2018	Trader Self employed
04/2014 - 10/2017	CIO Mosaic Advisors
01/2009 - 04/2014	Self employed Trading
06/2002 - 12/2012	Partner and Portfolio Manager DG Captial
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**

Chris Perras is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. This activity involves 34% or less of his time during traditional business hours each month. Mr. Perras is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

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

Chris Perras is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. He receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

#### **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.

***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)  
Updated: October 8, 2019

**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 Edward J Rossi that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Edward J Rossi 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 Edward J Rossi 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*

**Edward J Rossi**

Personal CRD Number: 2318022

Investment Adviser Representative

Oak Harvest Investment Services  
920 Memorial City Way Suite 150  
Houston, TX 77024  
2818221350 ext 223  
[ed@oakharvestfg.com](mailto:ed@oakharvestfg.com)

UPDATED: 03/04/2020

## Item 2: Educational Background and Business Experience

**Name:** Edward J Rossi      **Born:** 1969

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

#### **Education:**

BBA Finance, University of Houston - 1992

#### **Designations:**

##### **CFP® - Certified Financial Planner**

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.

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:

- i. 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
- ii. 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.

## **AAMS – Accredited Asset Management Specialist**

### MINIMUM QUALIFICATIONS:

- o Complete a self study course,
- o Pass an examination on asset management topics,
- o Agree to a code of ethics, and
- o Commit to annual continuing education.

## **CRPC® - Chartered Retirement Planning Counselor<sup>SM</sup>**

- o Successfully complete the program;
- o Pass the final examination; and
- o Comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning’s review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.
- o Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.
- o Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by:
  - o completing 16 hours of continuing education;
  - o reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct; and
  - o paying a biennial renewal fee

## **CMFC® - Chartered Mutual Fund Counselor**

- o The CMFC designation is a professional designation awarded by the College for Financial Planning to financial services professionals who complete a study program and pass an exam covering mutual fund topics.
- o All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.

- Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

### **Business Background:**

01/2020 - Present	Investment Adviser Representative Oak Harvest Investment Services
01/2020 - Present	Licensed Insurance Agent Oak Harvest Insurance Services
07/2019 - 01/2020	Financial Planner Etrade
08/2016 - 07/2019	Planner Edelman Financial Engines
12/2010 - 07/2016	Financial Consultant Charles Schwab & Co. Inc.
01/2008 - 12/2010	Financial Consultant PNC 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**

Edward J Rossi is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. This activity involves 33% or less of his time during traditional business hours each month. Mr. Rossi is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize



the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

Edward J Rossi is a Disc Jockey at STAR DJs, a mobile DJ service for individuals and corporate customers.

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

Edward J Rossi is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. He receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

### **Item 6: Supervision**

As a representative of Oak Harvest Investment Services, Edward J Rossi is supervised by Troy Sharpe, the firm's Chief Compliance Officer. Troy Sharpe is responsible for ensuring that Edward J Rossi 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 (713) 822-1350.

*This brochure supplement provides information about Nicole May Riney that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Nicole May Riney 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 Nicole May Riney 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*

**Nicole May Riney**

Personal CRD Number: 7206973

Investment Adviser Representative

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

UPDATED: 12/05/2019

## Item 2: Educational Background and Business Experience

**Name:** Nicole May Riney

**Born:** 1982

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

#### **Education:**

Bachelor of Science Communications, Weber State University - 2005

#### **Designations:**

##### **CFP® - Certified Financial Planner**

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- 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:

- i. 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
- ii. 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.

### **Business Background:**

11/2019 - Present	Investment Adviser Representative Oak Harvest Investment Services
11/2019 - Present	Financial Advisor Oak Harvest Financial Group
02/2009 - 11/2019	Financial Counselor Houston Municipal Employee Pension System

### **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**

Nicole May Riney is not engaged in any investment-related business or occupation (other than this advisory firm).

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

Nicole May Riney 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, Nicole May Riney is supervised by Troy R Sharpe, the firm's Chief Compliance Officer. Troy R Sharpe is responsible for ensuring that Nicole May Riney 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.

*This brochure supplement provides information about Ryan Patrick Kenney that supplements the Oak Harvest Investment Services brochure. You should have received a copy of that brochure. Please contact Ryan Patrick 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 Ryan Patrick 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*

**Ryan Patrick Kenney**

Personal CRD Number: 7226953

Investment Adviser Representative

Oak Harvest Investment Services  
920 Memorial City Way Suite 150  
Houston, TX 77024  
(832) 822-1350  
[ryan@oakharvestfg.com](mailto:ryan@oakharvestfg.com)

UPDATED: 03/04/2020

## Item 2: Educational Background and Business Experience

**Name:** Ryan Patrick Kenney      **Born:** 1984

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

#### **Education:**

Bachelor of Science Social Science, Kansas State University - 2009

#### **Business Background:**

01/2020 - Present	Investment Adviser Representative Oak Harvest Investment Services
01/2020 - Present	Licensed Insurance Agent Oak Harvest Insurance Services
06/2019 - 01/2020	Director of Development Boys and Girls Country of Houston
11/2018 - 03/2019	Director of Development Rice University
08/2015 - 11/2018	Director of Development University of Houston
02/2012 - 08/2015	Development Officer Kansas State University Foundation
02/2011 - 05/2012	Patient Care Specialist Gerimedical Inc.
02/2010 - 02/2011	Territory Sales Manager PPG Industries

## 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**

Ryan Patrick Kenney is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. This activity involves 33% or less of his time during traditional business hours each month. Ryan Patrick Kenney is able to sell annuities, life, health, and long-term care coverage to interested parties through various unaffiliated insurance companies via our insurance agency Oak Harvest Insurance Services, LLC. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Oak Harvest Investment Services always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any representative of Oak Harvest Investment Services in such individual's outside capacities.

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

Ryan Patrick Kenney is a licensed insurance agent and appointed with various unaffiliated insurance carriers via our insurance agency Oak Harvest Insurance Services, LLC. He receives a commission or renewal payment from the issuer subsequent to a client's purchase of an insurance contract. Further information with regard to these other activities may be found in the directly above section "Other Business Activities." Whether they are serving a client in one or more capacities, Oak Harvest representatives will disclose in advance how they are being compensated and if there is a conflict of interest involving any advice or service being provided. At no time will there be tying between business practices and/or services; a condition where a client or prospective client would be required to accept one product or service which is conditional upon the selection of a second, distinctive tied product or service. The offer and sale of Insurance products are not made in the associate's capacity as a fiduciary and is limited to providers that have agreements to sell with Oak Harvest Insurance Services. No client is ever obligated to purchase any insurance product. Insurance products may also be available from other providers on more favorable terms, but OHIS and its associates will always act in the best interests of the client.

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

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