

**Nicholas Harroz III**

**Mark I Asset Management, Ltd.**

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Oklahoma City, OK 73116  
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3/31/2012

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Nicholas Harroz III that supplements the Mark I Asset Management, Ltd. brochure. You should have received a copy of that brochure. Please contact Jerry W. Plant, Chief Compliance Officer, if you did not receive Mark I Asset Management Ltd's brochure or if you have any questions about the contents of this supplement.

Additional information about Mark I Asset Management, Ltd is also available on Oklahoma State Department of Securities website at [www.securities.ok.gov](http://www.securities.ok.gov). The searchable IARD/CRD number for Mark I Asset Management, Ltd is 104563.

Mark I Asset Management, Ltd is a Registered Investment Adviser. Registration with the State of Oklahoma's Department of Securities; any state securities authority does not imply a certain level of skill or training.

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

Form ADV Part 2B, Item 2

**Name: Nicholas Harroz III**

*Year of Birth:* 1980

*Formal Education after High School:*

- Baylor University, Bachelor of Business Administration, Accounting, 2003
- Baylor University, Master of Accountancy, 2004
- Oklahoma City University, Juris Doctor, 2009
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*Business Background for the Previous Five Years:*

- Mark I Asset Management, Ltd., President, August 2008 - Present
- University of Central Oklahoma, Adjunct Accounting Professor, January 2007 -- August 2008
- Self Employed, Consultant, April 2006 -- December 2006
- KPMG LLP, Accountant, August 2004 -- April 2006

*Certifications:*

- Certified Public Accountant (OK 2005)
- Oklahoma Bar Association (OK 2009)

*Biography:*

Nick Harroz III is president of Mark I Asset Management, an Oklahoma-based investment advisory firm that provides personalized investment and wealth management services.

Harroz, a Certified Public Accountant (CPA) and registered investment advisor, joined Mark I in 2008. Prior to Mark I, Harroz served as an adjunct professor of accounting at the University of Central Oklahoma and as a tax consultant in private practice.

From 2004 until 2006, Harroz was an accountant in the audit division of KPMG, a major international accounting firm, where he represented clients in the financial services and non-profit sector.

Active in the community, Harroz currently serves as the Epworth Villa finance/audit committee chair and as vice-chair of the board. He is chairman of the board of trustees at St. Luke's United Methodist Church, and serves on the board of directors of City Care, Inc.

Harroz is frequently used as an expert source on financial matters and has been featured in The Oklahoman, OKC Biz, The Journal Record, Tulsa Business Journal, KFOR, KWTW and in NewsOk videos. He also contributed to a weekly Journal Record blog called Wall Street Matters, during 2011.

Harroz received a Bachelor of Business Administration in Accounting in 2003 and a Master of Accountancy in 2004, both from Baylor University. While in graduate school, he was a portfolio manager of the Phil Dorr

Investment Fund, a student-run fund that manages a portion of Baylor University's endowment. He received his Juris Doctor degree from Oklahoma City University.

### ***Disciplinary Information***

Form ADV Part 2B, Item 3

**A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which your firm or a management person**

Nicholas Harroz III, a representative of Mark I, was NOT convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;

Nicholas Harroz III, a representative of Mark I, is NOT the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;

Nicholas Harroz III, a representative of Mark I, was NOT found to have been involved in a violation of an investment-related statute or regulation; or was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, your firm or a management person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

**B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which your firm or a management person**

Nicholas Harroz III, a representative of Mark I, was NOT found to have caused an investment-related business to lose its authorization to do business; or

was NOT found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority:

- (a) denying, suspending, or revoking the authorization of your firm or a management person to act in an investment-related business;
- (b) barring or suspending your firm's or a management person's association with an investment-related business;
- (c) otherwise significantly limiting your firm's or a management person's investment-related activities; or
- (d) imposing a civil money penalty of more than \$2,500 on your firm or a management person.

**C. A self-regulatory organization (SRO) proceeding in which your firm or a management person**

Nicholas Harroz II, a representative of Mark I was NOT found to have caused an investment-related business to lose its authorization to do business; or was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

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***Other Business Activities***

Form ADV Part 2B, Item 4

None.

***Additional Compensation***

Form ADV Part 2B, Item 5

This is not applicable to this supervised person.

### ***Supervision***

Form ADV Part 2B, Item 6

Supervised persons monitor daily transactions in client accounts via the portfolio management software. This ensures that all transactions are in accordance with the detailed investment plan Mark I formulates with its clients.

At least once a week, Mark I's supervised persons confer about client accounts and current investment policy. All of Mark I's supervised persons office within close proximity to each other. They frequently communicate in person and via telephone and email.

Supervised persons of Mark I:

Jerry W. Plant, CEO/Chief Compliance Officer, 405-525-6688 ext 1

Nicholas Harroz III, President, 405-525-6688 ext 2



