

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6246

ADMINISTRATIVE PROCEEDING
File No. 3-21121

In the Matter of

RON K. HARRISON

Respondent.

**DIVISION OF ENFORCEMENT'S STATUS
REPORT REGARDING SERVICE**

Pursuant to the February 23, 2023 Order in this matter, the Division of Enforcement of the Securities and Exchange Commission (“Division”) submits this status report regarding service on Ron K. Harrison (“Respondent” or “Harrison”).

This administrative action against Harrison pursuant to Section 203(f) of Investment Advisers Act of 1940 was instituted on September 21, 2022. The Secretary’s Office served the Order Instituting Proceedings (“OIP”) by U.S. Postal Service Certified Mail to Harrison’s last known address at [REDACTED] on September 21, 2022. The Secretary’s Office did not provide us with a copy of the Certified Mail receipt for the mailing to Harrison. *See* Declaration of Kathryn C. Wanner (“Wanner Decl.”), ¶2. On March 6, 2023, we reached out to the Secretary’s Office, which confirmed they had mailed the OIP on September 21, 2022, and that they had not received a return receipt for the mailing, but would “look through our returned mail.” *See* Wanner Decl. ¶3, Ex. A.

On November 8, 2022, in an abundance of caution, we also had Harrison personally served at his last known address at [REDACTED]. *See* Wanner Decl. ¶4. A proof of service that the OIP was left with a 20-year-old resident at the home is attached hereto. *See* Wanner Decl. ¶4, Ex. B.

Harrison has also been sued by the Securities and Exchange Commission in the Central District of California in an action titled *SEC v. Ron K. Harrison, et al.*, Case No. 8:21-cv-01610-JVS-DFM. Harrison is proceeding *pro se* in that matter. *See* Wanner Decl. ¶5, Ex. C. Harrison has provided a declaration in that matter listing his address as the Mercantile Way address. *Id.* According to Central District of California Local Rule 41-6, a *pro se* party is obligated to keep the Court and all other parties informed of the party's current address as well as any telephone number and email address. *See* Wanner Decl. ¶6, Ex. D. Harrison's address according to his filings with the Central District remains the Mercantile Way address. *Id.* Moreover, during the course of the District Court litigation, the Division has served Harrison via U.S. Mail at the Mercantile Way address numerous times and these mailings have not been returned. *See* Wanner Decl. ¶7.

Dated: March 9, 2023

Respectfully submitted,

Kathryn C. Wanner
Division of Enforcement
Los Angeles Regional Office
Securities and Exchange Commission
444 S. Flower St., Suite 900
Los Angeles, CA 90071
(323) 965-3954 (telephone)
Email: wannerk@sec.gov

In the Matter of Ron K. Harrison
Administrative Proceedings File No. 3-21121

SERVICE LIST

Pursuant to Commission Rule of Practice 151 (17 C.F.R. §201.151), I certify that the attached:


DIVISION OF ENFORCEMENT'S STATUS REPORT REGARDING SERVICE

was served on March 9, 2023, upon the following parties as follows:

By eFAP

Vanessa Countryman, Secretary
Securities and Exchange Commission
100 F. Street, N.E., Mail Stop 1090
Washington, DC 20549-1090

BY US Mail

Ron K. Harrison


Dated: March 9, 2023

Kathryn C. Wanner

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6246

ADMINISTRATIVE PROCEEDING
File No. 3-21121

In the Matter of

RON K. HARRISON

Respondent.

**DECLARATION OF KATHRYN C.
WANNER TO ASSIST SECRETARY WITH
RECORD OF SERVICE**

KATHRYN C. WANNER, pursuant to 28 U.S.C. § 1746, declares:

1. I am a trial counsel with the Division of Enforcement (“Division”) of the Securities and Exchange Commission, and co-counsel for the Division in the above-captioned administrative proceeding. I am submitting this Declaration to assist the Secretary in maintaining a record of service on the respondent in the above-captioned proceedings pursuant to Rule 131(a)(3).

2. The Office of the Secretary served the Order Instituting Proceedings (“OIP”) by U.S. Postal Service Certified Mail to Ron K. Harrison’s (“Harrison”) last known address at [REDACTED] on September 21, 2022. The Secretary’s Office did not provide us with a copy of the Certified Mail receipt for the mailing to Harrison.

3. On March 6, 2023, my office reached out to the Secretary’s Office, which confirmed they had mailed the OIP on September 21, 2022, and that they had not received a return receipt for the mailing, but would “look through our returned mail.” A true and correct copy of this email is attached hereto as Exhibit A.

4. On November 8, 2022, in an abundance of caution, we also had Harrison personally served at his last known address at [REDACTED]. A proof of service that the OIP was left with a 20-year-old resident at the home is attached hereto as Exhibit B.

5. Harrison has also been sued by the Securities and Exchange Commission in the Central District of California in an action titled *SEC v. Ron K. Harrison, et al.*, Case No. 8:21-cv-01610-JVS-DFM. Harrison is proceeding *pro se* in that matter. A true and correct copy of Harrison's Declaration (Docket No. 17) filed in that matter on October 25, 2021, listing his address as the Mercantile Way address is attached hereto as Exhibit C.

6. According to Central District of California Local Rule 41-6, a *pro se* party is obligated to keep the Court and all other parties informed of the party's current address as well as any telephone number and email address. A true and correct copy of Harrison's address according to his filing obligations with the Central District of California Local Rule 41-6 is attached hereto as Exhibit D.

7. During the course of the District Court litigation, the Division has served Harrison via U.S. Mail at the Mercantile Way address numerous times and these mailings have not been returned.

I declare under penalty of perjury that the foregoing is true and correct. Executed on March 9, 2023.

Kathryn C. Wanner

In the Matter of Ron K. Harrison
Administrative Proceedings File No. 3-21121

SERVICE LIST

Pursuant to Commission Rule of Practice 151 (17 C.F.R. §201.151), I certify that the attached:

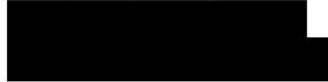
**DECLARATION OF KATHRYN C. WANNER TO ASSIST SECRETARY WITH
RECORD OF SERVICE**

was served on March 9, 2023, upon the following parties as follows:

By eFAP

Vanessa Countryman, Secretary
Securities and Exchange Commission
100 F. Street, N.E., Mail Stop 1090
Washington, DC 20549-1090

BY US Mail

Ron K. Harrison


Dated: March 9, 2023

Kathryn C. Wanner

EXHIBIT A

From: [OS-APT-MAIL](#)
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: LA-5169 / In the Matter of Ron Harrison
Date: Monday, March 06, 2023 10:57:46 AM

Hi Magnolia,

According to our records, we have not received a return receipt for AP 3-21121, in the Matter of Ron Harrison. The OIP was sent out on September 21, 2022.

We will make note of this and keep an eye out when we look through our returned mail.

Thank you

From: Irwin, Magnolia <IrwinMa@sec.gov>
Sent: Monday, March 6, 2023 1:47 PM
To: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>
Cc: Wanner, Kathryn <wannerk@SEC.GOV>
Subject: LA-5169 / In the Matter of Ron Harrison
Importance: High

Good morning.

Could you please check to see if you have received the return receipt for this AP?
If you can also let us know the date when the OIP was sent out, that would be great.

Thanks very much!

Magnolia

EXHIBIT B

Return of Service

UNITED STATES OF AMERICA
Securities and Exchange Commission

In the Matter of Ron K. Harrison

Case Number: 3-21121

On behalf of:
U.S. Securities and Exchange Commission
100 F St NE
Washington, DC 20549

Received by Cavalier to be served on Ron K. Harrison at [REDACTED]

I, Anaquad Cobe, being duly sworn, depose and say that on October 21, 2022 at 1:50 PM I served Order Instituting Administrative Proceedings Pursuant to Section 203(f) of the Investment Advisers Act of 1940 and Notice of Hearing; Notice of Appearance to Alec "Doe" as co-resident / associate of Ron K. Harrison at [REDACTED] being of suitable age and discretion to accept service in the absence of Ron K. Harrison. Service was made in this manner at the instruction of counsel.

At the time of service, a 20-year-old resident named Alec stated that Ron Harrison was his mother's boyfriend, but that Harrison had moved out of this address several months prior. However, given that residents here have previously lied for Harrison, I left the papers with Alec who stated that his mother could make sure Harrison received the documents. Alec did not provide his last name.

I am a natural person over the age of eighteen and am not a party or otherwise interested in the subject matter in controversy. I am a private process server authorized to serve this process in accordance with relevant law. Under penalty of perjury, I declare that the foregoing is true and correct.

[REDACTED]
Anaquad Cobe
Cavalier CPS
823-C S. King St.
Leesburg, VA 20175
Our Job Number: 2022-103202
Reference: 23-LARO-009

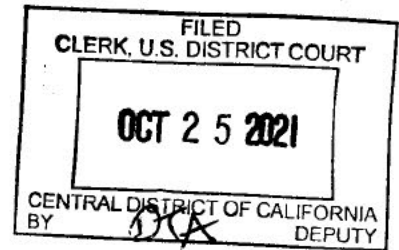
Date

EXHIBIT C

1 Ron Harrison

2 [Redacted]
3 [Redacted]

4 Defendant, In Propria Persona



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9 **UNITED STATES DISTRICT COURT**
10 **CENTRAL DISTRICT OF CALIFORNIA**

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12
13 **SECURITIES AND EXCHANGE**
14 **COMMISSION,**

15 **Plaintiff,**

16 **vs.**

17 **RON K. HARRISON; AND GLOBAL**
18 **TRADING INSTITUTE, LLC,**

19 **Defendants,**

20 **IRINA PARFYONOVA,**

21 **Relief Defendant.**
22

Case No. 8:21-cv-01610-JVS-DFM

**DECLARATION OF DEFENDANT
RON K. HARRISON SUBMITTED IN
RESPONSE TO ORDER OF THE
COURT RE: ACCOUNTING AND
DISCLOSURE OF DETAILED
SCHEDULE OF ALL REAL AND
PERSONAL PROPERTY WITH A
VALUE IN EXCESS OF \$5,000**

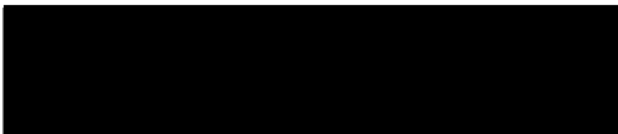
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I, Ron K. Harrison state and declare:

1. I am the Defendant in the above-reference matter, and I submit this Declaration in response to this Court’s Order, dated and entered October 13, 2021. The Order provides that within ten (10) business days of the issuance of the Order, that Defendant Harrison and Relief Defendant Parfyonova prepare and deliver to the SEC and file with the Court, a detailed and complete schedule of all of their personal assets, including all real and personal property exceeding \$5,000 in value, and all bank, securities, and other accounts identified by institution, branch address and account number. Additionally, the Order requires that the accounting shall include a description of the sources of all such assets.

2. I have no assets, real or personal, whose value exceeds \$5,000.

I declare under penalty of perjury that the foregoing is true and correct and that this Declaration was executed October 25, 2021 at Ladera Ranch, California.



Ron K. Harrison, Declarant

PROOF OF SERVICE

I am over the age of 18 and I am am not, a party to this action. My business address is: 3730 South Bear Street D, Santa Ana, CA, 92704

On Oct. 25, 2021, I caused to be served the following document(s) described as:

DECLARATION OF DEFENDANT RON K. HARRISON SUBMITTED IN RESPONSE TO ORDER OF THE COURT RE: ACCOUNTING AND DISCLOSURE OF DETAILED SCHEDULE OF ALL REAL AND PERSONAL PROPERTY WITH A VALUE IN EXCESS OF \$5,000

on all interested parties in this action addressed as stated on the attached service list:

Office Mail: By placing, in sealed envelope(s), which I placed for collection and mailing today following ordinary business practices. I am readily familiar with the firm’s practices for collection and processing of correspondence for mailing. Under that practice, such correspondence would be deposited with the U.S. Postal Service on that same day with postage thereon fully prepaid at _____, California, in the ordinary course of business.

Personal Deposit in Mail: By placing in sealed envelope(s), which I personally deposited with the U.S. Postal Service at Mission Viejo, California. Each such envelope was deposited with first class with the U.S. Postal Service with first class postage thereon fully prepaid.

Express U.S. Mail: Each such envelope was deposited in a box or facility regularly maintained at the U.S. Postal Service for receipt to Express Mail at _____, California, with Express Mail postage paid.

Facsimile: I caused the above-referenced document to be sent via facsimile transmission to () - . The transmission was reported as complete without error.

Overnight Service: I caused the above-referenced document to be sent via _____ envelope and placed into the _____ Package drop box at _____, California.

Personal Service: I caused such envelope(s) to be delivered by hand to the office of the addressee as stated on the attached service list.

Electronic Mail: I caused such document(s) to be delivered by Electronic Mail

1 to the electronic mail address as stated on the attached service list.

2 **State:** I declare under penalty of perjury under the laws of the State of
3 California that the foregoing is true and correct.

4 **Federal:** I declare that I employed in the office of a member of the bar of this
5 court at whose direction the service was made.

6 Executed this 25 day of October, 2021 at Ladera Ranch, California

7
8 [Redacted Signature]

9
10 **Ron Harrison**

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12 **SERVICE LIST**

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14 **Irina Parfyonova**

15 [Redacted Address]
16 [Redacted Address]

17 [Redacted Address] (by email)

18 **Global Trading Institute, LLC (by Mail)**
19 **c/o Ron Harrison, Registered Agent**
20 **3730 S. Bear St., Unit D**
Santa Ana, CA 92704

21 **KATHRYN C. WANNER (by email)**
22 **Email: wannerk@sec.gov**
23 **Securities and Exchange Commission**
444 S. Flower Street, Suite 900
24 **Los Angeles, California 90071**
Telephone: (323) 965-3998
25 **Facsimile: (213) 443-1904**
Attorneys for Plaintiff

EXHIBIT D

8:21cv1610, Securities And Exchange Commission V. Ron K. Harrison Et Al

US District Court Docket
United States District Court, California Central
(Southern Division - Santa Ana)

This case was retrieved on 03/09/2023

Header

Case Number: 8:21cv1610
Date Filed: 09/30/2021
Assigned To: Judge Sherilyn Peace Garnett
Referred To: Magistrate Judge Douglas F. McCormick
Nature of Suit: Securities (850)
Cause: Securities Exchange Act
Lead Docket: None
Other Docket: None
Jurisdiction: U.S. Government Plaintiff

Class Code: Open
Statute: 15:78m(a)
Jury Demand: Defendant
Demand Amount: \$0
NOS Description: Securities

Participants

Litigants

Securities and Exchange Commission
Plaintiff

Ron K. Harrison
[Terminated: 04/21/2022]
Defendant

Global Trading Institute, LLC
Defendant

Irina Parfyonova
Relief Defendant |
Defendant

Attorneys

Kathryn C. Wanner
LEAD ATTORNEY; ATTORNEY TO BE NOTICED
US Securities and Exchange Commission
444 South Flower Street, Suite 900
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USA
323-965-3998 Fax: 213-443-1904 Email: Wannerk@sec.Gov

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323-965-3998 Fax: 213-443-1904 Email: Bowersk@sec.Gov
Ron K. Harrison
PRO SE

[REDACTED]

Irina Parfyonova
PRO SE

[REDACTED]