

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 April 4, 2023, my office reached out to the Secretary's Office, which confirmed that they had not received a return receipt for the mailing, but that they would "continue to thoroughly check as we get returned mail." A true and correct copy of this email is attached hereto as Exhibit B.

5. On May 31, 2023, my office reached out to the Secretary's Office, which confirmed that they had not received a return receipt for the mailing, but that they would "thoroughly check the mail as they are returned and will reach out if we've received the green card." A true and correct copy of this email is attached hereto as Exhibit C.

5. On April 21, 2023, I spoke on the telephone with Irina Parfyonova, who was formerly Mr. Harrison's co-habiting girlfriend. On this call, Ms. Parfyonova indicated that Mr. Harrison no longer lived with her at the Mercantile Way address, but provided no further information concerning when he moved out or his current address. Ms. Parfyonova also indicated that she knew [REDACTED] but provided no further information as to his whereabouts.

6. I have attempted to confirm Harrison's address, including (1) running updated CLEAR reports on Harrison which do not show any new addresses and (2) running regular internet searches for information pertaining to his whereabouts. I will continue these methods on a regular basis to attempt to confirm Harrison's residence.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on June 29, 2023, in Los Angeles, California.

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 June 29, 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



Dated: June 29, 2023

Kathryn C. Wanner

EXHIBIT A

From: [OS-APT-MAIL](#)
To: [Irwin, Magnolia](#)
Cc: [OS-APT-MAIL](#); [Wanner, Kathryn](#); [Rodriguez, Elvia](#)
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

From: [OS-APT-MAIL](#)
To: [Wanner, Kathryn](#)
Cc: [Irwin, Magnolia](#); [Rodriguez, Elvia](#); [OS-APT-MAIL](#)
Subject: RE: LA-5169 / In the Matter of Ron Harrison
Date: Tuesday, April 04, 2023 10:05:49 AM

Hi Katy,

As of right now, we have not received a return receipt for the mentioned AP.

We've made note of this and will continue to thoroughly check as we get returned mail.

Thank you

From: Wanner, Kathryn <wannerk@SEC.GOV>
Sent: Tuesday, April 4, 2023 12:57 PM
To: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>; Irwin, Magnolia <IrwinMa@sec.gov>
Cc: Rodriguez, Elvia <rodriguez@SEC.GOV>
Subject: RE: LA-5169 / In the Matter of Ron Harrison

All – any update on the return receipt on this one?

Thanks so much for the help as always.

Katy

From: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>
Sent: Monday, March 06, 2023 10:58 AM
To: Irwin, Magnolia <IrwinMa@sec.gov>
Cc: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>; Wanner, Kathryn <wannerk@SEC.GOV>; Rodriguez, Elvia <rodriguez@SEC.GOV>
Subject: RE: LA-5169 / In the Matter of Ron Harrison

Hi Magnolia,

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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>

OS Received 06/29/2023

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 C

From: [OS-APT-MAIL](#)
To: [Irwin, Magnolia](#)
Cc: [OS-APT-MAIL](#); [Wanner, Kathryn](#); [Rodriguez, Elvia](#)
Subject: RE: LA-5169 / In the Matter of Ron Harrison
Date: Thursday, June 01, 2023 6:00:36 AM

Good Morning Magonlia,

According to our records, we have still not received a return receipt for the mentioned AP.

We will thoroughly check the mail as they are returned and will reach out if we've received the green card.

Thank you

From: Irwin, Magnolia <IrwinMa@sec.gov>
Sent: Wednesday, May 31, 2023 6:24 PM
To: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>; Wanner, Kathryn <wannerk@SEC.GOV>
Cc: Rodriguez, Elvia <rodriguez@SEC.GOV>
Subject: RE: LA-5169 / In the Matter of Ron Harrison
Importance: High

Good afternoon. Could you kindly check to see if the return receipt for this service has come back? Thanks very much! Magnolia

From: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>
Sent: Tuesday, April 04, 2023 10:06 AM
To: Wanner, Kathryn <wannerk@SEC.GOV>
Cc: Irwin, Magnolia <IrwinMa@sec.gov>; Rodriguez, Elvia <rodriguez@SEC.GOV>; OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>
Subject: RE: LA-5169 / In the Matter of Ron Harrison

Hi Katy,

As of right now, we have not received a return receipt for the mentioned AP.

We've made note of this and will continue to thoroughly check as we get returned mail.

Thank you

From: Wanner, Kathryn <wannerk@SEC.GOV>
Sent: Tuesday, April 4, 2023 12:57 PM
To: OS-APT-MAIL <OS-APT-MAIL@SEC.GOV>; Irwin, Magnolia <IrwinMa@sec.gov>
Cc: Rodriguez, Elvia <rodriguez@SEC.GOV>
Subject: RE: LA-5169 / In the Matter of Ron Harrison

OS Received 06/29/2023

All – any update on the return receipt on this one?

Thanks so much for the help as always.

Katy

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Subject: RE: LA-5169 / In the Matter of Ron Harrison

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Importance: High

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Magnolia