

**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 FIFTH  
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 fifth 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 April 4, 2023, we again

reached out to the Secretary's Office which confirmed that they still had not received a return receipt for the mailing. *Id.* ¶4, Ex. B. On May 31, 2023, we again reached out to the Secretary's Office which again confirmed that they still had not received a return receipt for the mailing. *Id.* ¶4, Ex. C. On April 21, 2023, counsel for the Division spoke on the phone with Irina Parfyonova, who was formerly Harrison's co-habiting girlfriend at the Mercantile Way address. *Id.* ¶ 5. On this phone call Ms. Parfyonova indicated that Mr. Harrison no longer lived with her at the Mercantile Way address but stated she did not know his new address but that [REDACTED]. *Id.* Ms. Parfyonova was unable to provide any further information as to his whereabouts. *Id.*

Counsel has used internal methods to seek 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. *Id.* ¶ 6. Counsel will continue these methods to attempt to confirm Harrison's residence.

Dated: June 29, 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](mailto: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 FIFTH STATUS REPORT REGARDING 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