

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
SEVENTH 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 seventh status report regarding service on Ron K. Harrison (“Respondent” or “Harrison”).

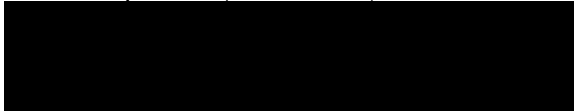
This administrative action against Harrison pursuant to Section 203(f) of Investment Advisers Act of 1940 was instituted on September 21, 2022. The Secretary’s Office served the Order Instituting Proceedings (“OIP”) by U.S. Postal Service Certified Mail to Harrison’s last known address at [REDACTED] 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 he was having serious health issues. *Id.* Ms. Parfyonova was unable to provide any further information as to his whereabouts. *Id.* Subsequently, we have reached out to Ms. Parfyonova again to see if she could provide any further information as to his whereabouts, but Ms. Parfyonova has not responded. *Id.* at 6.

Counsel has continued to use 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.* ¶ 7. Counsel will continue these methods to attempt to confirm Harrison's residence. Counsel has also hired independent process servers to use additional methods to attempt to locate Mr. Harrison. *Id.* at ¶ 8.

Dated: August 24, 2023

Respectfully submitted,



Kathryn C. Wanner
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Securities and Exchange Commission
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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 SEVENTH STATUS REPORT REGARDING SERVICE

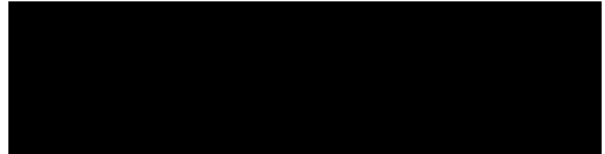
was served on August 24, 2023, upon the following parties as follows:

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: August 24, 2023

Kathryn C. Wanner

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INVESTMENT ADVISERS ACT OF 1940
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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 Mr. Harrison was having serious health issues 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.

7. On July 28, 2023, my office hired an outside process service company to attempt to find Harrison through other methods.

I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct. Executed on August 24, 2023, in Los Angeles, California.

A solid black rectangular redaction box covering the signature area.

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 August 24, 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: August 24, 2023


Kathryn C. Wanner