

## Uniform Application for Investment Adviser Registration

## Part II - Page 1

OMB APPROVAL

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Name of Investment Adviser:

Harrison &amp; Company Wealth Management, LLC

Address: (Number and Street)

(City)

(State)

(Zip Code)

Area Code

Telephone Number

11035 Booker T. Washington Hwy

Roanoke

VA

24184

540 7652094

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.  
The information has not been approved or verified by any governmental authority.**

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential Persons who are not to respond to the collection of information contained in this form are not  
required to respond unless the form displays a currently valid OMB control number.

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<p><b>1. A. Advisory Services and Fees.</b> (check the applicable boxes)</p> <p>For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)</p> <p><b>Applicant:</b></p> <p><input checked="" type="checkbox"/> (1) Provides investment supervisory services <span style="float: right;">60 %</span></p> <p><input checked="" type="checkbox"/> (2) Manages investment advisory accounts not involving investment supervisory services <span style="float: right;">30 %</span></p> <p><input type="checkbox"/> (3) Furnishes investment advice through consultations not included in either service described above <span style="float: right;">_____ %</span></p> <p><input type="checkbox"/> (4) Issues periodicals about securities by subscription <span style="float: right;">_____ %</span></p> <p><input type="checkbox"/> (5) Issues special reports about securities not included in any service described above <span style="float: right;">_____ %</span></p> <p><input type="checkbox"/> (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which client may use to evaluate securities <span style="float: right;">_____ %</span></p> <p><input checked="" type="checkbox"/> (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities <span style="float: right;">10 %</span></p> <p><input type="checkbox"/> (8) Provides a timing service <span style="float: right;">_____ %</span></p> <p><input type="checkbox"/> (9) Furnishes advice about securities in any manner not described above <span style="float: right;">_____ %</span></p> <p>(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)</p>	
<p style="text-align: right;">Yes No</p> <p>B. Does applicant call any of the services it checked above financial planning or some similar term? <span style="float: right;"><input checked="" type="checkbox"/> <input type="checkbox"/></span></p>	
<p>C. Applicant offers investment advisory services for: (check all that apply)</p> <p><input checked="" type="checkbox"/> (1) A percentage of assets under management <span style="margin-left: 100px;"><input type="checkbox"/> (4) Subscription fees</span></p> <p><input checked="" type="checkbox"/> (2) Hourly charges <span style="margin-left: 100px;"><input type="checkbox"/> (5) Commissions</span></p> <p><input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) <span style="margin-left: 100px;"><input type="checkbox"/> (6) Other</span></p>	
<p>D. For each checked box in A above, describe on Schedule F:</p> <ul style="list-style-type: none"> <li>the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee</li> <li>applicant's basic fee schedule, how fees are charged and whether its fees are negotiable</li> <li>when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date</li> </ul>	
<p><b>2. Types of Clients</b> -- Applicant generally provides investment advice to: (check those that apply)</p> <p><input checked="" type="checkbox"/> A. Individuals <span style="margin-left: 100px;"><input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations</span></p> <p><input type="checkbox"/> B. Banks or thrift institutions <span style="margin-left: 100px;"><input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above</span></p> <p><input type="checkbox"/> C. Investment companies <span style="margin-left: 100px;"><input type="checkbox"/> G. Other (describe on Schedule F)</span></p> <p><input checked="" type="checkbox"/> D. Pension and profit sharing plans</p>	

**3. Types of Investments** Applicant offers advice on the following: (check those that apply)

- |   |   |
|---|---|
| <p>A. Equity securities</p> <p><input type="radio"/> (1) exchange-listed securities</p> <p><input type="radio"/> (2) securities traded over-the-counter</p> <p><input type="radio"/> (3) foreign issuers</p> <p><input type="radio"/> B. Warrants</p> <p><input type="radio"/> C. Corporate debt securities<br/>(other than commercial paper)</p> <p><input type="radio"/> D. Commercial paper</p> <p><input type="radio"/> E. Certificates of deposit</p> <p><input type="radio"/> F. Municipal securities</p> <p>G. Investment company securities:</p> <p><input type="radio"/> (1) variable life insurance</p> <p><input type="radio"/> (2) variable annuities</p> <p><input type="radio"/> (3) mutual fund shares</p> | <p><input type="radio"/> H. United States governmental securities</p> <p>I. Options contracts on:</p> <p><input type="radio"/> (1) securities</p> <p><input type="radio"/> (2) commodities</p> <p>J. Futures contracts on:</p> <p><input type="radio"/> (1) tangibles</p> <p><input type="radio"/> (2) intangibles</p> <p>K. Interests in partnerships investing in:</p> <p><input type="radio"/> (1) real estate</p> <p><input type="radio"/> (2) oil and gas interests</p> <p><input type="radio"/> (3) other (explain on Schedule F)</p> <p><input type="radio"/> L. Other (explain on Schedule F)</p> |
|---|---|

**4. Methods of Analysis, Sources of Information, and Investment Strategies.**

A. Applicant's security analysis methods include: (check those that apply)

- |                                       |   |
|---------------------------------------|---|
| <input type="radio"/> (1) Charting    | <input type="radio"/> (4) Cyclical                      |
| <input type="radio"/> (2) Fundamental | <input type="radio"/> (5) Other (explain on Schedule F) |
| <input type="radio"/> (3) Technical   |   |

B. The main sources of information applicant uses include: (check those that apply)

- |   |   |
|---|---|
| <input type="radio"/> (1) Financial newspapers and magazines    | <input type="radio"/> (5) Timing services   |
| <input type="radio"/> (2) Inspections of corporate activities   | <input type="radio"/> (6) Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| <input type="radio"/> (3) Research materials prepared by others | <input type="radio"/> (7) Company press releases  |
| <input type="radio"/> (4) Corporate rating services             | <input type="radio"/> (8) Other (explain on Schedule F)   |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- |   |   |
|---|---|
| <input type="radio"/> (1) Long term purchases (securities held at least a year) | <input type="radio"/> (5) Margin transactions   |
| <input type="radio"/> (2) Short term purchases (securities sold within a year)  | <input type="radio"/> (6) Option writing, including covered options, uncovered options, or spreading strategies |
| <input type="radio"/> (3) Trading (securities sold within 30 days)              | <input type="radio"/> (7) Other (explain on Schedule F)   |
| <input type="radio"/> (4) Short sales   |   |

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

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<b>5. Education and Business Standards.</b>	Yes No
Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?.....	<input checked="" type="radio"/> <input type="radio"/>
(If yes, describe these standards on Schedule F.)	

<b>6. Education and Business Background.</b>				
For:				
<ul style="list-style-type: none"> <li>each member of the investment committee or group that determines general investment advice to be given to clients, or</li> <li>if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)</li> <li>each principal executive officer of applicant or each person with similar status or performing similar functions.</li> </ul>				
On Schedule F, give the:				
<table border="0"> <tr> <td>• name</td> <td>• formal education after high school</td> </tr> <tr> <td>• year of birth</td> <td>• business background for the preceding five years</td> </tr> </table>	• name	• formal education after high school	• year of birth	• business background for the preceding five years
• name	• formal education after high school			
• year of birth	• business background for the preceding five years			

<b>7. Other Business Activities.</b> (check those that apply)
<input type="radio"/> A. Applicant is actively engaged in a business other than giving investment advice. <input checked="" type="radio"/> B. Applicant sells products or services other than investment advice to clients. <input type="radio"/> C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.
(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

<b>8. Other Financial Industry Activities or Affiliations.</b> (check those that apply)												
<input type="radio"/> A. Applicant is registered (or has an application pending) as a securities broker-dealer. <input type="radio"/> B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser. <input type="radio"/> C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:												
<table border="0"> <tr> <td><input type="radio"/> (1) broker-dealer</td> <td><input type="radio"/> (7) accounting firm</td> </tr> <tr> <td><input type="radio"/> (2) investment company</td> <td><input type="radio"/> (8) law firm</td> </tr> <tr> <td><input type="radio"/> (3) other investment adviser</td> <td><input type="radio"/> (9) insurance company or agency</td> </tr> <tr> <td><input type="radio"/> (4) financial planning firm</td> <td><input type="radio"/> (10) pension consultant</td> </tr> <tr> <td><input type="radio"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant</td> <td><input type="radio"/> (11) real estate broker or dealer</td> </tr> <tr> <td><input type="radio"/> (6) banking or thrift institution</td> <td><input type="radio"/> (12) entity that creates or packages limited partnerships</td> </tr> </table>	<input type="radio"/> (1) broker-dealer	<input type="radio"/> (7) accounting firm	<input type="radio"/> (2) investment company	<input type="radio"/> (8) law firm	<input type="radio"/> (3) other investment adviser	<input type="radio"/> (9) insurance company or agency	<input type="radio"/> (4) financial planning firm	<input type="radio"/> (10) pension consultant	<input type="radio"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant	<input type="radio"/> (11) real estate broker or dealer	<input type="radio"/> (6) banking or thrift institution	<input type="radio"/> (12) entity that creates or packages limited partnerships
<input type="radio"/> (1) broker-dealer	<input type="radio"/> (7) accounting firm											
<input type="radio"/> (2) investment company	<input type="radio"/> (8) law firm											
<input type="radio"/> (3) other investment adviser	<input type="radio"/> (9) insurance company or agency											
<input type="radio"/> (4) financial planning firm	<input type="radio"/> (10) pension consultant											
<input type="radio"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant	<input type="radio"/> (11) real estate broker or dealer											
<input type="radio"/> (6) banking or thrift institution	<input type="radio"/> (12) entity that creates or packages limited partnerships											
(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)												
Yes No												
D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?...	<input type="radio"/> <input checked="" type="radio"/>											
(If yes, describe on Schedule F the partnerships and what they invest in.)												

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**9. Participation of Interest in Client Transactions.**

Applicant or a related person: (check those that apply)

- ☒ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☐ B. As broker or agent effects securities transactions for compensation for any client.
- ☒ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☐ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- |  |                          |                                     |
|--|--------------------------|-------------------------------------|
| <b>10. Conditions for Managing Accounts.</b> Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services <i>and</i> impose a minimum dollar value of assets or other conditions for starting or maintaining an account? | Yes                      | No                                  |
|  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

(If yes, describe on Schedule F.)

**11. Review of Accounts.** If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggers factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Client reviews are conducted in person twice per year and consist of one Investment Advisory review and one Wealth Management review. Additional reviews are scheduled in the intervening quarters as requested and agreed upon between each client and Harrison & Company Wealth Management. The Investment Advisory review includes a comprehensive review of a client's asset allocation, strategy allocation and the performance of both the portfolio and individual investments. Portfolio results are evaluated against and compared to appropriate benchmarks.

Wealth Management reviews focus on the client's progress towards meeting specific planning objectives agreed upon with the client's assigned advisor and may include such areas as retirement income planning, estate planning, tax minimization, asset protection and net worth management.

Reviews are supervised by a partner or senior advisor that, at a minimum, is a licensed Certified Financial Planner (CFP) practitioner is an Attorney or a Certified Public Accountant (CPA). Partners and Advisors are limited to 100 clients each to ensure that clients receive adequate professional coverage and attention.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Clients will receive monthly statements from our asset custodians, have complete online access to their accounts and have toll free access to account information through our asset custodians. Clients will also receive quarterly performance reports that will be delivered in person, e-mail, posting to a secure client web portal, or through postal mail.

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Harrison & Company Wealth Management, LLC

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801-

Date:

**12. Investment or Brokerage Discretion.**

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- |  |                       |                       |
|--|-----------------------|-----------------------|
| (1) securities to be bought or sold? .....               | Yes                   | No                    |
|  | <input type="radio"/> | <input type="radio"/> |
| (2) amount of the securities to be bought or sold? ..... | Yes                   | No                    |
|  | <input type="radio"/> | <input type="radio"/> |
| (3) broker or dealer to be used? .....                   | Yes                   | No                    |
|  | <input type="radio"/> | <input type="radio"/> |
| (4) commission rates paid? .....                         | Yes                   | No                    |
|  | <input type="radio"/> | <input type="radio"/> |

B. Does applicant or a related person suggest brokers to clients? ..... ☐ Yes ☐ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commission higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

**13. Additional Compensation.**

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- |   |                       |                       |
|---|-----------------------|-----------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? ..... | Yes                   | No                    |
|   | <input type="radio"/> | <input type="radio"/> |
| B. directly or indirectly compensates any person for client referrals? .....  | Yes                   | No                    |
|   | <input type="radio"/> | <input type="radio"/> |

(For each yes, describe the arrangements on Schedule F.)

**14. Balance Sheet.** Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
  - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- Has applicant provided a Schedule G balance sheet? ..... ☐ Yes ☐ No

**Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).**

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
Harrison & Company Wealth Management, LLC	801-	

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Harrison & Company Wealth Management, LLC	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer
	<p><b>Section 1 - Box A - Advisory Services and Fees</b></p> <p>Investment Advisory services are provided for an annual fee of 2.00% of assets under management and are subject to negotiation based on the size and scope of the engagement and ongoing servicing requirements. A minimum fee of \$1,500 per year will be charged regardless of the amount of assets under management. Smaller accounts may be linked to related larger accounts to avoid the minimum charge. Examples of such linkage include families, pension and profit sharing plan accounts and corporations with subsidiaries.</p> <p>Fees are billed quarterly on the first day of each quarter and automatically deducted from client accounts except for new accounts which are billed on a pro-rata basis for the month based on the number of days remaining in the quarter. Clients may terminate an advisory relationship at any time and will receive a prorated refund of any fees for full months remaining in the quarter. For example, if clients terminate a relationship in on February 15th, they would receive refund for the month of March equivalent to one third of the fee paid at the beginning of the quarter.</p> <p>Clients may terminate an advisory engagement via writing, fax or e-mail.</p> <p>Special projects undertaken for the benefit of a client may also be charged on an hourly basis. Partners of the firm are billed at \$300/hour. Non-partner Advisors are billed at \$200/hour and administrative staff is billed at \$100/hour. For hourly work, clients will receive an estimate as to the anticipated time that each project will take and whether such work will be done by a partner, advisor or staff member.</p> <p>Fixed fees will be charged for assisting on projects not involving investment advisory services of accounts. Examples include assistance procuring a mortgage, negotiating a car lease and so forth. Clients will be given a flat quote for the project in advance of the project for any fixed fee work.</p> <p><b>Section 5 - Education and Business Standards</b></p> <p>Advisors in the firm are required to hold a college degree, pass all applicable securities exams and licensing requirements and must become licensed as Certified Financial Planner (CFP) practitioners. The CFP requirement will be waived for Advisors that are Attorneys in good standing and admitted to the appropriate state bar or are a Certified Public Accountant (CPA) in good standing.</p> <p><b>Education of Managing Partner and Principal, Bruce Harrison.</b> Bruce Harrison was born in 1967, graduated from Tulane University in 1989 with a BSM in Finance with a minor in Accounting and is a CFP licensed practitioner. Bruce is also a graduate of the Cannon Financial Trust School. Bruce's career includes 14 years in banking during which times he held positions as a the head of multiple bank branches in Maryland, worked in the Strategic Planning Group, was a Consumer Lending Manager, ran the customer service center of a large thrift, was a Trust Officer, Institutional Trust Officer and Wealth Management Advisor and Vice President for a national bank. Following a career in banking, Bruce joined Merrill Lynch in 2003 where he served as a Wealth Management Advisor prior to starting Harrison &amp; Company Wealth Management, LLC. in 2009.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 1

**Schedule F of  
Form ADV  
Continuation Sheet for Form ADV  
Part II**

Applicant:	SEC File Number:	Date:
Harrison & Company Wealth Management, LLC	801-	

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Harrison & Company Wealth Management, LLC	IRS Empl. Ident. No.:
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Item of Form (identify)	Answer
	<p><b>Section 7 - Other Business Activities</b></p> <p>Harrison &amp; Company Wealth Management, LLC also allows advisors of the firm to act as Registered Representatives of Purshe Kaplan Sterling Investments ("PKS") to facilitate aspects of our wealth management engagements and to accommodate clients that may have commission based financial instruments that were purchased at a broker dealer or insurance company. Products serviced, sold or carried through PKS include load Mutual Funds, Variable and Fixed Annuities, 401(k)/Profit Sharing Plans, Life Insurance, Long Term Care Insurance, Disability Insurance and Limited Partnerships. Harrison &amp; Company Wealth Management, LLC Advisors placing business with PKS will receive the usual and customary commission for doing so.</p> <p>Purshe Kaplan Sterling Investments is in no way affiliated with Harrison &amp; Company Wealth Management, LLC or involved in the Registered Investment Advisor aspects of the business such as investment advisory services and financial planning services.</p> <p><b>Section 9 - Participation in Client Transactions</b></p> <p>Employees of Harrison &amp; Company Wealth Management, LLC (the "Firm") are encouraged to manage their financial affairs in the same way that we advise clients. This belief will result in advisors purchasing and holding the same investments as clients. To ensure that clients are not disadvantaged in any way, the firm has instituted a strict code of ethics that requires, among other things, that client orders for investments be aggregated with client orders and submitted simultaneously to avoid any preferential execution in orders. Wherever possible, investment orders that include employee orders, will be block purchased and allocated using an "average price" allocation method.</p> <p>Advisors of the Firm may also recommend to clients investments that are offered through our broker/dealer partner Purshe Kaplan Sterling Investments ("PKS"). For such investments, advisors will receive the usual and customary commission for the investments. For any activity through PKS, clients will receive full and complete disclosure as to the commission paid prior to the transaction itself.</p> <p><b>Section 10 - Conditions for Managing Accounts.</b></p> <p>To maintain our service commitment to clients, Harrison &amp; Company has imposed a standard that advisors to the firm handle no more than 100 families, institutions or corporations. To meet this requirement, clients are required to open an account with a minimum account size of \$100,000. Exceptions will be made at the discretion of the firm to accommodate families, retirement plans and those clients wishing to test the firm prior to committing their full capital.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 2