

BrokerCheck Report

JOHN WARD HARRISON III

CRD# 3176071

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.

**JOHN W. HARRISON III**

CRD# 3176071

Currently employed by and registered with the following Firm(s):**IA ELEVATION ADVISORY PARTNERS LLC**

11111 Nall Ave
Ste 202
Leawood, KS 66211
CRD# 312170

Registered with this firm since: 06/03/2021

B SILVER OAK SECURITIES, INCORPORATED

11111 Nall Ave
Suite 202
Leawood, KS 66211
CRD# 46947

Registered with this firm since: 08/30/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 8 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):****B CETERA ADVISOR NETWORKS LLC**

CRD# 13572
LONGWOOD, FL
09/2019 - 08/2022

IA CETERA ADVISOR NETWORKS LLC

CRD# 13572
EL SEGUNDO, CA
04/2021 - 12/2021

IA SUMMIT FINANCIAL GROUP INC

CRD# 109485
BOCA RATON, FL
06/2009 - 05/2021

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ELEVATION ADVISORY PARTNERS LLC**
 Main Office Address: **3505 LAKE LYNDA DRIVE
 SUITE 200
 ORLANDO, FL 32817**
 Firm CRD#: **312170**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/08/2021
IA	Kansas	Investment Adviser Representative	Approved	06/03/2021

Branch Office Locations

3505 LAKE LYNDA DRIVE
 SUITE 200
 ORLANDO, FL 32817

11111 Nall Ave
 Ste 202
 Leawood, KS 66211

Employment 2 of 2

Firm Name: **SILVER OAK SECURITIES, INCORPORATED**
 Main Office Address: **403 N. PARKWAY
 SUITE 101
 JACKSON, TN 38305**
 Firm CRD#: **46947**



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	08/30/2022
B FINRA	General Securities Representative	Approved	08/30/2022

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/23/2022
B California	Agent	Approved	08/30/2022
B Florida	Agent	Approved	09/12/2022
B Iowa	Agent	Approved	09/01/2022
B Kansas	Agent	Approved	08/30/2022
B New York	Agent	Approved	09/13/2022
B North Carolina	Agent	Approved	09/14/2022
B Texas	Agent	Approved	08/30/2022

Branch Office Locations

SILVER OAK SECURITIES, INCORPORATED

11111 Nall Ave
Suite 202
Leawood, KS 66211

SILVER OAK SECURITIES, INCORPORATED

3505 Lake Lynda Dr
Ste 200
Orlando, FL 32817



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/03/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/25/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/03/2003
B Uniform Securities Agent State Law Examination	Series 63	02/11/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2019 - 08/2022	CETERA ADVISOR NETWORKS LLC	13572	LONGWOOD, FL
IA 04/2021 - 12/2021	CETERA ADVISOR NETWORKS LLC	13572	LONGWOOD, FL
IA 06/2009 - 05/2021	SUMMIT FINANCIAL GROUP INC	109485	LEAWOOD, KS
B 06/2009 - 09/2019	SUMMIT BROKERAGE SERVICES, INC.	34643	LEAWOOD, KS
B 11/2006 - 06/2009	UBS FINANCIAL SERVICES INC.	8174	LEAWOOD, KS
IA 11/2006 - 06/2009	UBS FINANCIAL SERVICES INC.	8174	LEAWOOD, KS
B 08/2003 - 11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	LIBERTY, MO
IA 08/2003 - 11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	LIBERTY, MO
IA 05/2003 - 08/2003	COMMERCE BROKERAGE SERVICES, INC	17140	INDEPENDENCE, MO
B 09/2001 - 08/2003	COMMERCE BROKERAGE SERVICES, INC.	17140	CLAYTON, MO
B 01/2000 - 09/2001	FIRSTAR INVESTMENT SERVICES, INC.	14536	MORRIS PLAINS, NJ
B 01/1999 - 01/2000	MERCANTILE INVESTMENT SERVICES, INC.	19908	ST. LOUIS, MO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	Silver Oak Securities, Inc.	Registered Representative	Y	Leawood, KS, United States
05/2021 - Present	ELEVATION ADVISORY PARTNERS	PARTNER/IAR	Y	LONGWOOD, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2020 - Present	HCM HOLDINGS	OWNER	N	LEAWOOD, KS, United States
09/2019 - 08/2022	CETERA ADVISOR NETWORKS LLC	REGISTERED REP / INVESTMENT ADVISOR REP	Y	EL SEGUNDO, CA, United States
02/2021 - 10/2021	HARRISON LYNCH PARTNERS	CO-OWNER	Y	LONGWOOD, FL, United States
06/2009 - 05/2021	SUMMIT FINANCIAL GROUP INC	IA REP	Y	OVERLAND PARK, KS, United States
06/2009 - 09/2019	SUMMIT BROKERAGE SERVICES INC	REG REP	Y	OVERLANDK PARK, KS, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- 1) Fixed insurance with various companies,Is Investment Related,"11111 Nall Ave, STE 202, Leawood, KS, 66211, United States",Insurance,Self,2021-03-01,5 hours per month,0 hours per month during trading hours,Commission Compensation,"Sells life,health,disability,long term care and property and causality."
- 2) Elevation Advisory Partners,Is Investment Related,,RIA,Partner,2021-01-01,160 hours per month,40 hours per month during trading hours,Fee Based Compensation,RIA
- 3) Harrison Capital Management,Is Investment Related,"11111 Nall Ave, STE 202, Leawood, KS, 66211, United States",Financial Planning,Owner,2009-06-04,160 hours per month,10 hours per month during trading hours,Fee Based Compensation,Financial planning fiirm
- 4) HCM Holdings,Is Investment Related,"11111 Nall Ave, STE 202, Leawood, KS, 66211, United States",Financial Holding Company,Owner,2020-01-01,160 hours per month,10 hours per month during trading hours,Fee Based Compensation,Holding company for financial planning firm Harrison Capital Management

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES THAT IN APRIL 2008, HARRISON MADE MISREPRESENTATIONS IN CONNECTION WITH THE RECOMMENDATION AND SALE OF A VARIABLE ANNUITY.
Product Type:	Annuity-Variable
Alleged Damages:	\$193,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	MISSOURI CIRCUIT COURT
Docket/Case #:	1116-CV0079
Filing date of arbitration/CFTC reparation or civil litigation:	01/26/2011

Customer Complaint Information

Date Complaint Received: 01/26/2011



Complaint Pending? No

Status: Settled

Status Date: 06/08/2012

Settlement Amount: \$39,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANT ALLEGES THAT IN APRIL 2008, HARRISON MADE MISREPRESENTATIONS IN CONNECTION WITH THE RECOMMENDATION AND SALE OF A VARIABLE ANNUITY

Product Type: Annuity-Variable

Alleged Damages: \$193,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: MISSOURI CIRCUIT COURT

Docket/Case #: 1116-CV0079

Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2011

Customer Complaint Information

Date Complaint Received: 01/26/2011

Complaint Pending? No

Status: Settled

Status Date: 06/08/2012



Settlement Amount: \$39,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE CLIENT THAT SETTLED WITH UBS IS STILL A CLIENT OF MINE. SHE HAD A SPECIFIC COMPLAINT WITH UBS IN REGARDS TO A LIVING RIDER THAT WAS ATTACHED TO HER CONTRACT. THE CONTRACT WAS A 1035 EXCHANGE FROM RIVERSOURCE WHICH WAS HELD IN HER DECEASED HUSBANDS NAME. UNBEKNOWNST TO MYSELF AS WELL AS CLIENT THE LIVING BENEFIT WAS INVALID DUE TO CONTRACT BEING AN INHERITED IRA. BEFORE CONTRACT WAS OPEN IT HAD TO GO THROUGH UBS COMPLIANCE FOR APPROVAL, WHICH IT DID WITHOUT AN ISSUE. THE INVALID RIDER CAME TO LIGHT WHEN I LEFT UBS AND WENT TO MOVE ACCOUNT TO MY NEW FIRM. AT THAT TIME BOTH CLIENT AND I CONTACTED AXA AS WELL AS UBS TO RESOLVE SITUATION. NEITHER AXA NOR UBS WOULD COME TO A SATISFACTORY AGREEMENT WHICH THEN NECESSITATED CLIENT FILING A FORMAL COMPLAINT IN ORDER TO GET RESOLUTION.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRSTAR INVESTMENT SERVICES, INC

Allegations: CUSTOMER ALLEGES FUNDS COULD ONLY BE INVESTED FOR 3 YEARS AND AN ORDER WAS NOT PLACED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$13,400.00

Customer Complaint Information

Date Complaint Received: 02/04/2002

Complaint Pending? No

Status: Denied

Status Date: 02/28/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FIRSTAR INVESTMENT SERVICES, INC.

Allegations: CUSTOMER ALLEGES FUNDS COULD ONLY BE INVESTED FOR 3 YEARS AND AN ORDER WAS NOT PLACED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$13,400.00

Customer Complaint Information



Date Complaint Received: 02/04/2002

Complaint Pending? No

Status: Denied

Status Date: 02/28/2002

Settlement Amount:

Individual Contribution Amount:

End of Report



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