



## IAPD Report

# JOHN WARD HARRISON III

CRD# 3176071

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JOHN WARD HARRISON III (CRD# 3176071)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/02/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	ELEVATION ADVISORY PARTNERS LLC	CRD# 312170	06/03/2021
<b>B</b>	SILVER OAK SECURITIES, INCORPORATED	CRD# 46947	08/30/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	CETERA ADVISOR NETWORKS LLC	13572	LONGWOOD, FL	09/20/2019 - 08/31/2022
<b>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	LONGWOOD, FL	04/17/2021 - 12/31/2021
<b>IA</b>	SUMMIT FINANCIAL GROUP INC	109485	LEAWOOD, KS	06/04/2009 - 05/20/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **SILVER OAK SECURITIES, INC.**  
Main Address: 403 N. PARKWAY  
STE. 101  
JACKSON, TN 38305  
Firm ID#: 46947

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/30/2022
B FINRA	General Securities Representative	Approved	08/30/2022
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 South Carolina	Agent	Approved	12/23/2025
B Texas	Agent	Approved	08/30/2022

### Branch Office Locations

**SILVER OAK SECURITIES, INC.**  
3505 Lake Lynda Dr



### Qualifications

Ste 200  
Orlando, FL 32817

**SILVER OAK SECURITIES, INC.**  
11111 Nall Ave  
Suite 202  
Leawood, KS 66211

### Employment 2 of 2

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

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/08/2021
IA Kansas	Investment Adviser Representative	Approved	06/03/2021

### Branch Office Locations

**ELEVATION ADVISORY PARTNERS LLC**  
11111 Nall Ave  
Ste 202  
Leawood, KS 66211




## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**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
 General Securities Principal Examination (S24)	Series 24	12/03/2009

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/25/1999

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/03/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1999

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/20/2019 - 08/31/2022	CETERA ADVISOR NETWORKS LLC	CRD# 13572	LONGWOOD, FL
IA	04/17/2021 - 12/31/2021	CETERA ADVISOR NETWORKS LLC	CRD# 13572	LONGWOOD, FL
IA	06/04/2009 - 05/20/2021	SUMMIT FINANCIAL GROUP INC	CRD# 109485	LEAWOOD, KS
B	06/04/2009 - 09/20/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	LEAWOOD, KS
B	11/27/2006 - 06/18/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	LEAWOOD, KS
IA	11/27/2006 - 06/18/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	LEAWOOD, KS
B	08/18/2003 - 11/29/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LIBERTY, MO
IA	08/18/2003 - 11/29/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LIBERTY, MO
IA	05/20/2003 - 08/20/2003	COMMERCE BROKERAGE SERVICES, INC	CRD# 17140	INDEPENDENCE, MO
B	09/04/2001 - 08/20/2003	COMMERCE BROKERAGE SERVICES, INC.	CRD# 17140	CLAYTON, MO
B	01/03/2000 - 09/05/2001	FIRSTAR INVESTMENT SERVICES, INC.	CRD# 14536	MORRIS PLAINS, NJ
B	01/26/1999 - 01/03/2000	MERCANTILE INVESTMENT SERVICES, INC.	CRD# 19908	ST. LOUIS, MO

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	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 & Employment History

### EMPLOYMENT HISTORY

Employment Dates	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 representative regarding other business activities the representative 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 Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

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

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/26/2011
<b>Complaint Pending?</b>	No



**Status:** Settled  
**Status Date:** 06/08/2012  
**Settlement Amount:** \$39,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**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.

**Disclosure 2 of 2**

**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:** Individual

**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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