



IAPD Report

OSCAR LEE HARRISON II

CRD# 4174598

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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

OSCAR LEE HARRISON II (CRD# 4174598)

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 **02/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	04/03/2017
B	LPL FINANCIAL LLC	CRD# 6413	04/04/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
IA	SORRENTO PACIFIC FINANCIAL, LLC	127787	FREMONT, CA	04/04/2013 - 11/15/2016
B	SORRENTO PACIFIC FINANCIAL, LLC	127787	FREMONT, CA	04/03/2013 - 11/15/2016
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SANTA ANA, CA	10/12/2012 - 04/02/2013

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
Criminal	1
Customer Dispute	3



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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/04/2017
B	FINRA	General Securities Representative	Approved	04/04/2017
B	FINRA	General Securities Sales Supervisor	Approved	04/04/2017
B	Arizona	Agent	Approved	04/05/2017
IA	California	Investment Adviser Representative	Approved	04/03/2017
B	California	Agent	Approved	04/05/2017
B	Florida	Agent	Approved	04/05/2017
B	Georgia	Agent	Approved	08/14/2023
B	Hawaii	Agent	Approved	04/27/2017
B	Idaho	Agent	Approved	02/22/2021
B	Michigan	Agent	Approved	02/19/2026
B	Montana	Agent	Approved	01/02/2026
B	Nevada	Agent	Approved	05/01/2017



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	04/04/2024
B Oklahoma	Agent	Approved	04/07/2017
B Oregon	Agent	Approved	03/14/2019
B Tennessee	Agent	Approved	05/07/2024
B Texas	Agent	Approved	04/05/2017
IA Texas	Investment Adviser Representative	Restricted Approval	04/03/2017
B Utah	Agent	Approved	11/29/2022
B Washington	Agent	Approved	01/26/2026

Branch Office Locations

LPL FINANCIAL LLC
39150 FREMONT BLVD FL 4
FREMONT, CA 94538

LPL FINANCIAL LLC
SANTA ANA, CA



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 4 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/30/2008
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/17/2008
Registered Options Principal Examination (S4)	Series 4	11/24/2007
General Securities Principal Examination (S24)	Series 24	11/21/2005

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/05/2000

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	02/15/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/2000

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
IA	04/04/2013 - 11/15/2016	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	FREMONT, CA
B	04/03/2013 - 11/15/2016	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	FREMONT, CA
IA	10/12/2012 - 04/02/2013	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SANTA ANA, CA
B	10/05/2012 - 04/02/2013	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SANTA ANA, CA
B	10/23/2009 - 08/07/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BREA, CA
IA	10/23/2009 - 08/07/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BREA, CA
B	01/27/2003 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LOS ANGELES, CA
IA	01/27/2003 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LOS ANGELES, CA
B	08/07/2002 - 01/28/2003	COMPASS BROKERAGE, INC.	CRD# 17086	BIRMINGHAM, AL
IA	08/07/2002 - 01/28/2003	COMPASS BROKERAGE, INC.	CRD# 17086	HOUSTON, TX
IA	02/15/2002 - 08/06/2002	MORGAN STANLEY	CRD# 7556	HOUSTON, TX
B	11/21/2000 - 08/06/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY

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
02/2017 - Present	LPL Financial LLC	Registered Representative	Y	Fremont, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2013 - Present	FREMONT BANK	PROGRAM MANAGER / Registered Representative	Y	FREMONT, CA, United States
04/2013 - 11/2016	SORRENTO PACIFIC FINANCIAL , LLC	PROGRAM MANAGER	Y	SAN DIEGO, CA, 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. 1/16/2020 - Fremont Bancorp - DBA: FB Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/01/2020 - 160 Hours Per Month/80 Hours During Securities Trading.



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
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	TRAVIS COUNTY COURT
Location of Court:	AUSTIN, TEXAS
Docket/Case #:	335511
Charge Date:	03/15/1990
Charge(s) 1 of 1	
Formal Charge(s)/Description:	SHOPLIFTING
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NO CONTEST
Disposition of charge:	PLEAD NO CONTEST
Current Status:	Final
Status Date:	10/18/1990
Disposition Date:	10/18/1990
Sentence/Penalty:	PROBATION - 180 DAYS; NO FINE.
Broker Statement	3 INDIVIDUALS WENT TO A DEPARTMENT STORE, PURCHASED SOME ITEMS & PLACED THEM IN A BAG. AS WE WERE LEAVING WE WERE STOPPED, ONE INDIVIDUAL HAD NOT PAID FOR A PAIR OF SHORTS. THE EVENT HAPPENED ON 3/15/1990.



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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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGED THAT REPRESENTATIVE REFUSED TO ENTER HIS UNSOLICITED ORDER TO PURCHASE 1000 SHARES OF ERI ON MARCH 18, 2020, AND SEEKS TO HAVE THOSE SHARES DEPOSITED IN HIS ACCOUNT. ACTIVITY PERIOD: 3/18/20 TO 4/30/21.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/22/2021

Complaint Pending? No

Status: Denied

Status Date: 05/11/2021

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THIS COMPLAINT HAS BEEN DENIED. THE CUSTOMER NEVER FUNDED AN ACCOUT TO MAKE A PURCHASE OF THE SECURITY, AND NEVER ISSUED AN INSTRUCTION THAT IT BE PURCHASED. ON MARCH 18, 2020, HE ASKED MR. HARRISON WHAT HE THOUGHT OF THE STOCK, AND MR. HARRISON TOLD HIM HE THOUGHT THERE WAS TO MUCH RISK IN THE GAMING INDUSTRY DUE TO THE PANDEMIC. THE CUSTOMER DID NOT INSTRUCT MR. HARRISON THAT HE WANTED TO PURCHASE THE STOCK DESPITE THESE CONCERNS, OR AT ANY OTHER TIME INSTRUCT MR. HARRISON TO PURCHASE THE STOCK.. THE CUSTOMER WAS AT ALL TIMES AWARE THAT HE HAD NOT FUNDED AN ACCOUNT AND THAT NO PURCHASE HAD BEEN MADE IN IT, BUT RAISED NO QUESTION OR ISSUE UNTIL OVER A YEAR HAS PASSED AND THE VALUE OF THE STOCK HAD INCREASED. IF THE CUSTOMER HAD TOLD MR. HARRISON TO PURCHASE THE STOCK, HE WOULD HAVE FOLLOWED THAT INSTRUCTION, BUT THE CUSTOMER NEVER ISSUED THAT INSTRUCTION.

**Disclosure 2 of 3**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGES FORGERY ON PAPERWORK REQUESTING A CONTINUATION OF VARIABLE ANNUITY BENEFITS.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED BUT OVER \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/18/2020

Complaint Pending? No

Status: Denied

Status Date: 03/09/2021

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I DENY EACH AND EVERY ALLEGATION. I THOROUGHLY DISCUSSED THE FEATURES AND VARIOUS OPTIONS RELATED TO THE DEATH BENEFIT CLAIM FORM. THE CUSTOMER UNDERSTOOD HER OPTIONS, CHOSE TO CONTINUE THE ANNUITY, AND SHE SIGNED THE FORM. THE ANNUITY COMPANY CORRESPONDED WITH THE CUSTOMER THREE TIMES CONFIRMING HER SELECTION, AND SHE NEVER RAISED A CONCERN UNTIL MANY MONTHS LATER. TO AVOID THE SURRENDER CHARGE, SHE ACCUSED ME OF FORGERY, WHICH I VEHEMENTLY DENY. THE CUSTOMER'S COMPLAINT WAS DETERMINED TO BE WITHOUT MERIT AND DENIED.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGES A MUTUAL FUND WAS PURCHASED WITHOUT HER AUTHORIZATION. CUSTOMER ALLEGES MISREPRESENTATION OF A VARIABLE ANNUITY. ACTIVITY PERIOD - 11/24/19 TO 9/11/20.

Product Type: Annuity-Variable
Mutual Fund



Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED BUT OVER \$5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/14/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2020
Settlement Amount:	\$17,685.34
Individual Contribution Amount:	\$15,000.00

Broker Statement

The complaint was settled in the interest of compromise and closure and to avoid the time and expense of further dispute. The customer's purchase of the mutual fund was fully discussed, documented, and authorized. The customer received all required paperwork inclusive of statements, trade confirmations, and account documents. To resolve the matter, the representative agreed to pay the costs to have the sale reversed. The representative denies any wrongdoing and this settlement does not constitute an admission of liability.



End of Report

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