



IAPD Report

TROY ROBERT SHARPE

CRD# 6408500

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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.



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

TROY ROBERT SHARPE (CRD# 6408500)

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 **10/16/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OAK HARVEST INVESTMENT SERVICES	CRD# 173293	01/12/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	OAK HARVEST INVESTMENT SERVICES	173293	HOUSTON, TX	12/03/2014 - 12/31/2017

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
Civil Event	1



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OAK HARVEST INVESTMENT SERVICES**
Main Address: 920 MEMORIAL CITY WAY
SUITE 150
HOUSTON, TX 77024
Firm ID#: 173293

	Regulator	Registration	Status	Date
	Texas	Investment Adviser Representative	Approved	01/12/2018

Branch Office Locations

OAK HARVEST INVESTMENT SERVICES
920 MEMORIAL CITY WAY
SUITE 150
HOUSTON, TX 77024



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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/2014
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	12/03/2014 - 12/31/2017	OAK HARVEST INVESTMENT SERVICES	CRD# 173293	HOUSTON, TX

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
05/2018 - Present	OHFG MANAGEMENT, INC.	PRESIDENT	Y	HOUSTON, TX, United States
05/2018 - Present	OHFG VENTURES, LP	PRESIDENT	Y	HOUSTON, TX, United States
05/2018 - Present	TROY SHARPE CONSULTING, LLC	MANAGING MEMBER	Y	HOUSTON, TX, United States
09/2014 - Present	OAK HARVEST INVESTMENT SERVICES, LLC	PRESIDENT/IAR	Y	HOUSTON, TX, United States
04/2012 - Present	OAK HARVEST INSURANCE SERVICES, LLC	CEO	Y	HOUSTON, TX, United States
09/2010 - Present	OAK HARVEST FINANCIAL GROUP, PLLC	Chief Executive Officer/Chief Compliance Officer/	N	HOUSTON, TX, United States
06/2008 - 05/2018	SHARPE FINANCIAL STRATEGIES LLC	MANAGING MEMBER/INSURANCE ADVISOR	Y	HOUSTON, TX, 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.

2010-PRESENT: OAK HARVEST FINANCIAL GROUP, LLC/NOT INVESTMENT RELATED/HOUSTON, TX/HOLDING COMPANY/PRESIDENT. MAY INVOLVE UP TO 34% TIME EACH MONTH, INCLUDING DURING TRADITIONAL MARKET HOURS.//

2012-PRESENT: OAK HARVEST INSURANCE SERVICES, LLC/INSURANCE RELATED/HOUSTON, TX/INSURANCE AGENCY/PRESIDENT & AGENT/OFFERING INSURANCE PRODUCTS AND SERVICES VIA UNAFFILIATED ISSUERS/MAY INVOLVE UP TO 33% TIME EACH MONTH, INCLUDING DURING TRADITIONAL MARKET HOURS.//

2018-PRESENT: OHFG Ventures, LP; investment related: Yes; 920 Memorial City Way, Suite #150; OHFG Ventures LP, is the owning entity of Oak Harvest Investment Services, LLC and Oak Harvest Insurance Services, LLC.; President; As president and a partner of the owning entity of Investment Services and Insurance Services, Mr. Sharpe oversees the general operations of both



Registration & Employment History



OTHER BUSINESS ACTIVITIES

operating entities. These activities produce no additional revenue. ; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 3; Percentage of total yearly compensation expected to be derived from the business: 0.00.//

2018-PRESENT: OHFG Management, Inc; investment related: Yes; 920 Memorial City Way, Suite #150; OHFG Management, Inc. is the owning entity of OHFG Ventures, LP, the owning entity of Oak Harvest Investment Services and Oak Harvest Insurance Services.; President; As president, Mr. Sharpe oversee the general operations of the operating entities, Investment Services and Insurance Services. These activities generate no additional revenue. ; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 3; Percentage of total yearly compensation expected to be derived from the business: 0.//

2018-PRESENT; Troy Sharpe Consulting, LLC; investment related: Yes; 920 Memorial City Way, Suite #150; Troy Sharpe Consulting, LLC is a closely held entity used for the purpose of personal income and expenses.; President and Managing Member; Mr. Sharpe manages personal income and expenses via Troy Sharpe Consulting, LLC. He currently engages in no other consulting activities, and Troy sharpe Consulting generates no additional revenue. ; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 3; Percentage of total yearly compensation expected to be derived from the business: 0.//



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
Civil Event	1

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:	5TH JUDICIAL CIRCUIT COURT
Location of Court:	LAKE COUNTY, FLORIDA
Docket/Case #:	9901290CFA0142
Charge Date:	06/18/1999
Charge(s) 1 of 1	
Formal Charge(s)/Description:	POSSESSION OF CANNABIS OVER 20 GRAMS.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO CONTEST
Disposition of charge:	Reduced
Date of Amended Charge:	06/18/1999
Charge was Amended or reduced to:	REDUCED
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NO CONTEST
Disposition of Amended Charge:	Reduced



Current Status:	Final
Status Date:	06/18/1999
Disposition Date:	10/12/1999
Sentence/Penalty:	PLEAD NO CONTEST, ADJUDICATION WITHHELD, COURT ISSUED A NOLLE PROSEQUI ON OCTOBER 11, 1999, WHICH DATE I STARTED 12 MONTHS OF PROBATION WHICH WAS TRANSFERRED TO LEON COUNTY FLORIDA SO I COULD START MY FRESHMAN YEAR OF COLLEGE IN TALLAHASSEE. MY PROBATION WAS TERMINATED EARLY FOR GOOD BEHAVIOR ON ABOUT APRIL 15TH. I PAID FINES OF \$3,145 FOR COURT COSTS AND PROBATION FEES. I ALSO COMPLETED 50 HOURS OF COMMUNITY SERVICE AT THE BOYS & GIRLS CLUB DURING THIS TIME.
Broker Statement	THIS HAPPENED DURING THE SUMMER AFTER MY SENIOR YEAR OF HIGH SCHOOL. I WAS 18 AND WE HAD A GET TOGETHER WITH SOME FRIENDS THAT WERE ALL GOING TO COLLEGE IN DIFFERENT PLACES. THE COPS WERE CALLED BECAUSE OF A NOISE VIOLATION AND FOUND MARIJUANA WHICH I SAID WAS MINE.



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	DAVID EASTWOOD
Relief Sought:	Other: MONETARY DAMAGES AND ATTORNEYS FEES
Date Court Action Filed:	03/13/2023
Date Notice/Process Served:	11/30/2023
Product Type:	Annuity-Fixed
Type of Court:	State Court
Name of Court:	HARRIS COUNTY DISTRICT COURT
Location of Court:	HARRIS COUNTY, TEXAS
Docket/Case #:	202315979
Employing firm when activity occurred which led to the action:	OAK HARVEST INSURANCE SERVICES, LLC
Allegations:	INSURNACE-ONLY CLIENT ALLEGES FRAUD REGARDING THE SALE OF A \$500,000 ANNUITY ISSUED BY WESTERN BANKERS LIFE INSURANCE AND \$2,000.000 IN AN ANNUITY ISSUED BY COLORADO BANKERS LIFE INSURANCE.
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	NONE
Broker Statement	TROY SHARPE AND OAK HARVEST INSURANCE SERVICES, LLC HAS PENDING LITIGATION ALLEGING FRAUD CONCERNING THE SALE OF TWO MULTI-YEAR GUARANTEED ANNUITIES THAT WERE BROKERED FOR A SINGLE INSURANCE CLIENT. THE LAWSUIT REQUESTS \$2.5 MILLION IN DAMAGES IN RESTITUTION. THE INSURANCE CLIENT HAS NOT ACCRUED ANY LOSSES AS THE ANNUITIES HAVE CONTINUED TO PAY THEIR CONTRACTED AMOUNTS.



End of Report

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