



PRAIRIEVIEW PARTNERS

PERSONAL WEALTH MANAGEMENT

PRAIRIEVIEW PARTNERS, LLC

PrairieView Partners, LLC is a locally owned, independent, fee-only, integrated personal wealth management firm in St. Paul, Minnesota, serving individuals and families in the Twin Cities, across greater Minnesota, and in a number of states.

OUR PURPOSE

Our founding partners established PrairieView Partners to fulfill a purpose that was not, in our view, being adequately met in the marketplace. Individuals with net worths between \$1 million and \$20 million – our target market – have a multitude of needs related to investing, retirement planning, estate planning, taxation, education planning, charitable giving, and risk management. While there are many qualified professionals able to give expert guidance in one or two of these areas, what is too often lacking is coordination. Providing highly personalized, unbiased, advice that is truly integrated across multiple disciplines is at the core of PrairieView Partner's business philosophy.

Our goal is to serve as the central point of communication for our clients – to thoroughly understand their situation and objectives and to make sure their investment, retirement planning, estate planning, tax, insurance, and other financial needs are being appropriately met.



“To accomplish great things we must first dream, then visualize, then plan....believe....act.”

— ALFRED ARMAND MONTAPERT

WHAT DISTINGUISHES US

While the term “wealth manager” is used rather loosely in the financial marketplace, we strive to be just that – true personal wealth managers. We approach wealth management as a “profession,” not as a technique for selling investment products. Our partners are CPAs, CFPs, and investment professionals (CFAs) with many years of bona fide experience in portfolio management, accounting, taxation, estate planning, and financial planning. We sell no products, are completely objective in the advice we give, and are free of the bias of any particular profession. And we understand that our role – our core purpose – is to bring together knowledge from a variety of sources, both internal and external, for the ultimate purpose of helping people achieve their goals.

OUR SERVICES

Investment portfolio management	Retirement and financial planning	Estate planning	Income tax planning
Trust and estate administration	Tax return preparation	Tax representation	Charitable giving strategies
Risk management	Stock options/Executive compensation analysis	Education planning	

OUR INVESTMENT APPROACH

Creating sound investment portfolios is foundational to our client-servicing model.

Our investment approach is based on the application of Nobel Prize-winning academic research in Modern Portfolio and Asset Allocation theory. Modern Portfolio theory proves that risk-adjusted returns increase when a portfolio holds diversified (i.e., inversely correlated) investments. Asset Allocation theory identifies security selection, investment timing, and asset allocation as the three sources of investment returns, and shows that asset allocation is by far the primary determinant of total return.

We construct and manage broadly diversified portfolios for our clients that are carefully customized to their particular needs, objectives, and tolerance for risk. Each portfolio is continually monitored and rebalanced to stay within the agreed parameters. Because costs can have a substantial negative effect on returns, we utilize low-cost index funds, and exchange-traded funds (ETFs) and individual bonds in structuring client portfolios. This approach, which is disciplined, unemotional, tax sensitive, and cost-efficient, has repeatedly proven to achieve optimal investment returns over time.



JONATHAN JARANSON, CFP®, founding partner, developed and implements PrairieView Partner's investment philosophy. In this role, he works with clients to design customized portfolios and rebalancing strategies. Prior to founding PrairieView Partners, Jonathan was the Chief Investment Officer for an \$850 million private wealth management firm. Building on his strong investment background, Jonathan provides financial consultation to clients with a particular emphasis on integrating investment strategies with each client's cash flow, tax, and estate planning needs.



KRISTY SCHAFFER, CPA, PFS, CFP®, founding partner, started her career in the public accounting environment with PricewaterhouseCoopers providing individual income tax and comprehensive financial planning to senior executives and other high net worth individuals and then spent five years with a wealth management and investment advisory firm. Drawing on her experience and expertise, today she focuses on serving as a personal wealth advisor specializing in advising clients with complicated tax, stock option and alternative compensation arrangements.



ROBERT "BO" AYLIN , III, founding partner, advises clients and serves as the Chief Compliance Officer for the firm. He provides integrated and highly personalized counsel to clients on investments, retirement planning, life insurance, education funding, estate planning, and small business retirement plans. Bo began his career in the financial industry with Morgan Stanley and Charles Schwab. He then served for eight years at a private wealth management firm as a portfolio manager and financial planner.



MATTHEW WEIER, CFA, CFP®, partner, leads PrairieView Partners' Investment Committee and is responsible for developing, overseeing, and implementing PrairieView's Core Investment Philosophies and portfolio management strategy. Matt works to develop and articulate PrairieView's investment strategy, making certain it is consistently communicated to our clients, prospective clients, and within our team as well as reflected in all of our clients' portfolios. As a Senior Wealth Manager Matt also works directly with PrairieView's clients to develop and manage their financial plans and investment portfolios.



PAULA PRICE, CPA, CFP®, partner, has been with PrairieView Partners since 2013. She is a Certified Public Accountant who has provided tax-oriented financial advice to business and individuals for over 19 years. Paula enjoys the deliberate focus on the issues and financial needs of individuals and families. She thrives on stimulating, intricate work and the gratification of seeing its positive impact on clients' lives. Paula's tax and general financial acumen, along with her attention to detail, are well suited to the personal wealth consulting that PrairieView Partners provides.



LUKE MURRAY, CFP®, CPWA®, joined PrairieView Partners in 2020 as a Senior Wealth Manager. Luke brings extensive experience to the firm from his previous 20 years of work at a highly respected St. Paul organization, where he advised on a broad range of financial matters for multiple generations of some of Minnesota's oldest, wealthiest, and well-known families. He is a Certified Financial Planner® professional specializing in working with clients to develop detailed financial plans that align their core values with their financial and life goals. At PrairieView, Luke applies his expertise to advising clients on the development and management of investment portfolios that reflect their unique circumstance. He is also a member of the PrairieView Partners Investment Committee.



TERESA BIRD, CPA, CFP® is a Wealth Manager and brings tremendous experience assisting clients with their tax compliance and financial planning needs. As a CPA, she has provided tax-oriented advice to businesses and individuals alike. Teresa enjoys working at a firm that takes an integrated approach to clients' financial plans focused on achieving their life goals. Teresa's attention to detail and ability to make the complexities in financial and tax planning understandable, makes her a great advisor to clients.



ELLAN HOWLEY, CFP® Planning and Operations Manager, focuses on helping our Financial Planning services run smoothly. With her previous work as a Wealth Manager, she understands the process of developing and constructing creative game plans to achieve clients' goals. She continually strives to bring this knowledge into building efficient processes and tools in order to provide clients with the highest quality work. Ellan earned her undergraduate degree in Mathematics from St. Olaf College in Northfield, Minnesota. Upon graduation, she worked as a Financial Consulting Assistant for a financial planning firm where she performed a vital part in analyzing and developing clients' retirement plans as well as educating clients on fundamental financial topics.



NOAH WOLTHUIS, CFP®, Financial Planning Analyst, brings valuable experience from previous roles in Client Services and as a Support Advisor for two advisory firms in Michigan. At PrairieView, Noah provides detailed analysis to help answer clients' most pressing financial questions. He loves Financial Planning because it gives him the opportunity to help individuals and families with the big financial concerns in their lives. Providing solutions to problems and counsel to worries gives him the confidence that he is making our clients' lives better. Noah has a drive to continuously learn and is currently pursuing the Enrolled Agent (EA) tax designation.



NOLAN DIETEL is a Financial Planning Analyst at the firm. Nolan runs behind the scenes analysis to answer clients' financial concerns. Using an analytical and problem-solving mindset, he assists PrairieView's wealth managers in developing financial tools and creating financial plans to help clients achieve their goals and aspirations. Nolan earned his undergraduate degree in Financial Planning and Statistics & Actuarial Science from University of Minnesota Duluth. He participated in the Financial Planning Club at UMD, which fostered his interest in helping others find financial success. He completed his coursework for the CFP® designation and is working on completing the exam and experience requirement.



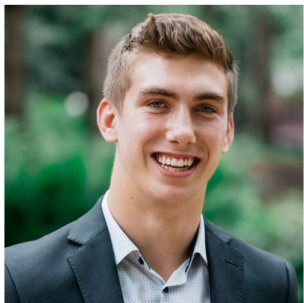
DILLON ESSMA works as a Senior Portfolio Analyst, and was promoted to Portfolio Manager in 2022. He brings investment experience to the firm from his past investment management roles at U.S. Bank and Wells Fargo. At PrairieView, Dillon applies his expertise to the management of clients' portfolios. Dillon earned his Bachelor of Business Administration in Finance and Accounting from the University of Wisconsin-Milwaukee and completed a Certificate in Investment Management. The rigorous courses prepared him to properly research investments and manage portfolios. Dillon has passed Level I of the CFA exam and plans to achieve this designation in the future. Prior to joining PrairieView, Dillon worked in Portfolio Management roles, as well as serving as an Equity Research Analyst for an advisory firm sharpening Dillon's investment management knowledge and skills in working with individuals' and families' long-term assets.



ANDREW NOMOTO serves as a Portfolio Analyst for PrairieView. As a key member of the Investment Team, he assists with investment operations, data and portfolio analysis, trading, and investment research. Andrew's contributions ensure the efficient management and backend mechanics for clients' accounts. Andrew earned his undergraduate degree in Economics with an emphasis in Finance from St. Olaf College in 2022. He gained experience interning at another wealth management firm where he researched and made recommendations on improving client retirement portfolios.



AMANDA PARSONS is a Planning and Client Service Analyst and ensures our clients are receiving the highest quality work. She assists our Financial Planning team in analyzing clients' retirement planning, investments, education funding, tax planning, estate planning, and insurance needs. In addition, Amanda serves on the Client Service team helping to onboard new clients. Amanda attended the University of Minnesota Duluth for her undergraduate degree in Finance and a minor in Marketing and Human Resources. Upon graduation, she worked for a financial advising company where she learned more about retirement plans, college funding, investing, and managing client service needs. She earned her Series 65 designation in October of 2020 and her Life, Accident, and Health Insurance Producer License in March of 2021.



BRADY PEAT is a Financial Planning Analyst with PrairieView. He dives deep into each client's financial position to help our Wealth Managers guide clients toward making the right financial decisions. Brady's education and experience in the financial planning industry highlighted his desire to help others fulfill their life aspirations and solidified his interest in pursuing a career in the industry. He earned his Undergraduate degree from The University of Wisconsin – Madison in Financial Planning in 2022. Brady gained experience interning at a wealth management firm in Madison for over two years. He completed his coursework for the CFP® designation and is working towards completing the exam and experience requirement.

Firm Brochure

(Part 2A of Form ADV)

February 1, 2023



This brochure provides information about the qualifications and business practices of **PRAIRIEVIEW PARTNERS, LLC**. If you have any questions about the contents of this brochure, please contact us at: 651.233.1100, or by email at: info@prairieviewpartners.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority.

Additional information about **PRAIRIEVIEW PARTNERS, LLC** is available on the SEC's website at adviserinfo.sec.gov. Click on the "Investment Adviser Search" link and then search for "Firm" using the firm's CRD number, which is 145743.

PRAIRIEVIEW PARTNERS, LLC

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MATERIAL CHANGES

ANNUAL UPDATE

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

MATERIAL CHANGES SINCE THE LAST UPDATE

This brochure dated February 1, 2023, includes the following material changes since our brochure was last updated on March 1, 2022: Founding partner, Thomas Irwin, retired in 2022 and is no longer an owner or Investment Adviser Representative of the firm.

FULL BROCHURE AVAILABLE

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: 651.233.1100 or by email at: info@prairieviewpartners.com.

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ADVISORY BUSINESS

FIRM DESCRIPTION

PRAIRIEVIEW PARTNERS, LLC ("PVP" or "We") is an independent investment advisory and financial planning firm registered with the Securities and Exchange Commission. PVP was founded in December 2007 by its four partners, Jonathan Jaranson, Thomas Irwin, Kristy Schaffer and Robert ("Bo") Aylin, III. Thomas Irwin retired from the firm in 2022. Registration of an Investment Adviser does not imply any level of skill or training.

PVP was founded with the idea of giving everyone we work with a comprehensive and integrated wealth planning experience that is similar to how the very wealthy rely upon their assorted financial, investment, tax and legal advisors.

PVP provides personalized confidential financial planning and investment management to individuals, trusts, retirement plans, estates, charitable organizations and small businesses. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate and charitable planning.

PVP is strictly a fee-only financial planning and investment management firm. The firm does not receive any form of commissions/compensation when recommending an investment or insurance strategy or solution. PVP may rely on the services of an unaffiliated third party firm or agency to provide its clients with insurance products or solutions.

Investment advice is provided after assessing client goals, future cash flow needs and risk profile, with the client making the final decision on asset allocation. Assets under direct management of PVP are held by independent custodians including: Charles Schwab & Co., Inc. ("Schwab"), TD Ameritrade Institutional, a Division of TD Ameritrade, Inc. ("TD Ameritrade"), and Fidelity Institutional ("Fidelity"); all SEC registered broker-dealers and FINRA members. Additional information regarding the custodians can be found in the Brokerage Practices section of this brochure.

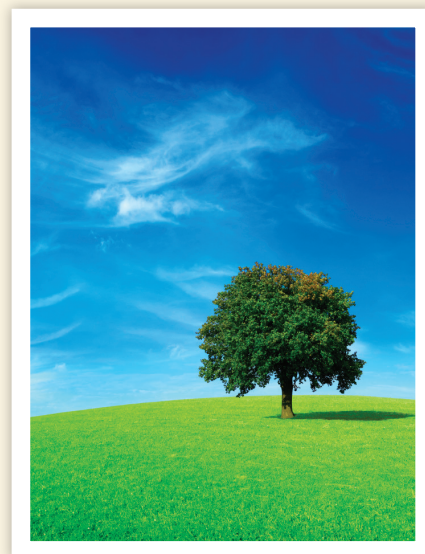
PRAIRIEVIEW PARTNERS, LLC does not act as a custodian of client assets. The client always maintains asset control. PVP places trades for clients under a limited power of attorney only after written authorization is received from the client. Other custodians may be used if PVP and the client agree that doing so will be in the client's best interest.

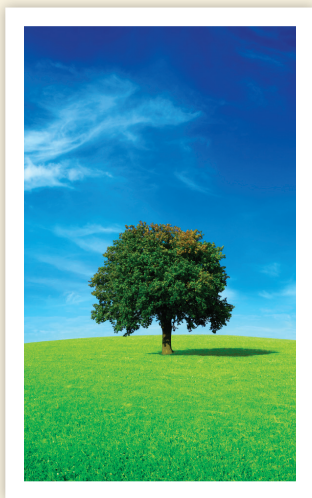
As of December 31, 2022, PRAIRIEVIEW PARTNERS, LLC manages approximately \$831.4 million in assets; \$825.2 is managed on a discretionary basis, and \$6.2 million is managed on a non-discretionary basis.

Periodic review meetings with clients are conducted to make sure all aspects of client's investment and financial planning are coordinated and the client is on track to achieve previously stated goals. Reviews may be triggered by material market, economic or political events, or by changes in client's financial situation. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

We frequently coordinate the services of other professionals (e.g., lawyers, accountants, insurance agents, etc.) at the request of the client. Other professionals are engaged directly by the client on an as-needed basis even when recommended by PVP. Conflicts of interest will be disclosed to the client.

The initial meeting, which may be by telephone, is free of charge and is considered an exploratory interview to determine the extent to which financial planning and investment management may be beneficial to the client.





ADVISORY BUSINESS CONTINUED

PRINCIPAL OWNERS

Our five partners and owners of the firm are:

▪ Robert ("Bo") Aylin, III	28.33%	▪ Paula Price	7%
▪ Jonathan Jaranson	28.33%	▪ Matthew Weier	8%
▪ Kristy Schaffer	28.33%		

TYPES OF ADVISORY SERVICES

PVP provides investment supervisory services, customizing client portfolios based on their particular circumstances, goals and risk profile. We view financial planning as a key component of the advisory relationship and will make sure to collect all relevant financial information prior to investing a client's portfolio. Information is usually gathered in a two-step process:

- 1) A discovery meeting in which one or more advisors interviews the client to gather information; and
- 2) A confidential client questionnaire and a document checklist.

On more than an occasional basis, PVP furnishes advice to clients on matters not involving securities, such as financial planning matters, taxation issues, and trust services that often include estate planning. Tax preparation services are optional for the client and are provided by an affiliated CPA firm owned by the partners of PVP. Clients are charged separately for the preparation of tax returns.

TAILORED RELATIONSHIPS

We believe one of the most important decisions an investor makes is determining Asset Allocation – most importantly the balance between equities (stocks) and bonds and lower risk assets. We focus much of our attention on the Client's Risk Profile, which includes a clear understanding of:

- 1) **Risk Capacity** – the degree of risk that can be taken from a pure financial perspective.
(This entails an assessment of future cash flow needs.)
- 2) **Risk Tolerance** – the amount of risk a client is "willing" to take. (This involves an assessment of the emotional aspects of investing.)
- 3) **Risk Demand** – the level of risk that "needs" to be taken in order to accomplish the goals set by the client.

Clients have the opportunity to place reasonable restrictions or constraints on the way their accounts are managed.

FINANCIAL PLAN

As integrated wealth managers, financial planning is woven through every aspect of the services we provide to the client. Typically, these services are covered by the Investment Management fees as described below. In most cases, a financial planning engagement will occur **prior** to the decision to become an ongoing client of the firm. These services will be based on a fixed fee that will be communicated to the client prior to a planning engagement in the form of an Engagement Letter. Typically, the planning fee is waived upon the client retaining PVP as the on-going advisor.

The financial plan may include, but is not limited to: a net worth statement; one or more retirement scenarios (cash flow projections); a review of investment and retirement accounts, including reviewing asset allocation and providing repositioning recommendations; strategic tax planning; a review of insurance policies and recommendations for changes, if necessary; and education planning with funding recommendations.

The fee for a financial plan is predicated upon the facts known at the start of the engagement. The fee ranges from \$2,500-\$5,000 and is based on the level of complexity involved in the planning.

In the event that the client's situation is substantially different than disclosed at the initial meeting, a revised fee will be provided for mutual agreement. The client must approve the change of scope in advance of the additional work being performed when a fee increase is necessary.

INVESTMENT ADVISORY AGREEMENT

Each client is provided with an Investment Advisory Agreement prior to entering in a long-term engagement. Agreements may not be assigned without client consent.

TERMINATION OF AGREEMENT

A Client will have a period of five (5) business days from the date of signing the investment advisory agreement to unconditionally rescind the agreement and receive a full refund of all fees. Thereafter, either party may terminate the investment advisory agreement with 30 days notice. Upon termination, fees will be prorated to the date of termination. Any unearned fees will be refunded to the client.

FINANCIAL CONSULTING AGREEMENT

In some circumstances, a Financial Consulting Agreement is executed in lieu of an Investment Advisory Agreement when it is more appropriate to work on a fixed-fee basis. The annual fee for a Consulting engagement will depend on the complexity of the client case and the anticipated amount of time involved.

HOURLY PLANNING ENGAGEMENTS

PVP does not provide hourly planning services for clients.

RETIREMENT ROLLOVERS – NO OBLIGATION/CONFLICT OF INTEREST

A client leaving an employer typically has four options (and may engage in a combination of these options): 1) leave the money in the former employer's plan, if permitted, 2) roll over the assets to his/her new employer's plan, if one is available and rollovers are permitted, 3) rollover to an Individual Retirement Account (IRA), or 4) cash out the account value (which could, depending upon the client's age, result in adverse tax consequences).

PVP may recommend a client roll over plan assets to an IRA managed by PVP. As a result, PVP may earn an asset-based fee; however, a recommendation that a client or prospective client leave their plan assets with a previous employer may or may not result in compensation to PVP. PVP has an economic incentive to encourage an investor to roll plan assets into an IRA that PVP will manage.

There are various factors that PVP may consider before recommending a rollover, including but not limited to: 1) the investment options available in the plan versus the investment options available in an IRA, 2) fees and expenses in the plan versus the fees and expenses in an IRA, 3) the services and responsiveness of the plan's investment professionals versus those of PVP, 4) required minimum distributions and age considerations, and 5) employer stock tax consequences, if any. No client is under any obligation to roll over plan assets to an IRA managed by PVP.

When PVP provides investment advice to you regarding your retirement plan account or individual retirement account, we are fiduciaries within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money creates some conflicts with your interests, so we operate under a special rule that requires us to act in your best interest and not put our interests ahead of yours. Under this special rule's provisions, PVP must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.



FEES AND COMPENSATION

DESCRIPTION

PVP is committed to a transparent and straightforward fee structure. We base our fees on a fixed percentage of the assets we manage for the client. In some cases, PVP may negotiate a fixed quarterly fee. In those cases, Investment Management Fees are agreed upon prior to the signing of the Investment Advisory Agreement. PVP, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

Assets Under Management	Annual Fee
First \$2,000,000	1.00%
\$2,000,001-\$5,000,000	0.75%
\$5,000,001-\$10,000,000	0.50%
\$10,000,000 and Above	0.25%

FEE BILLING

Investment management fees are billed quarterly, in advance, meaning we assess fees for the next three-month billing period. Fees are calculated based on the fair market value of the portfolio on the last business day of the quarter and are assessed in the first month of the following quarter. Client accounts are billed directly on a pro-rata basis. The client must consent in advance to direct debiting of their investment accounts.

The annual fee for investment management services provided are based upon a percentage (%) of the market value of the Assets under management in accordance with the fee schedule in the Agreement signed by the Client. PVP considers cash to be an asset class and part of Assets under management and subject to the same fee calculation as the Client's non-cash investments.

Fees for financial plans are due within 30 days of delivery of the financial plan unless waived by PVP.

Refunds will be given on a prorated basis, based on the number of days remaining in a quarter at the point of termination. Clients may terminate their accounts without penalty, for full refund, within five (5) business days of signing the advisory contract.

OTHER FEES

Custodians may charge transaction fees on purchases or sales of certain mutual funds, stocks and exchange-traded funds as well as for certain services, e.g. wire transfers. PVP does not receive any portion of transaction or service fees assessed by a Custodian. See *Brokerage Practices* on pages 13–14 for additional information.

EXPENSE RATIOS

Mutual funds and Exchange-Traded Funds (ETFs) generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. These fees are in addition to the fees paid by you to PVP. PVP strives to keep the internal fees (expense ratios) assessed by mutual fund and ETFs very low.

PERFORMANCE-BASED FEES

PVP does not use a performance-based fee structure (fees based on a share of the capital gains or capital appreciation of managed securities).

TYPES OF CLIENTS

DESCRIPTION

PVP generally provides investment advice to individuals and their families, trusts and estates. Advice can extend to entities related to the client such as small businesses and charitable organizations, including

foundations and endowments. PVP also serves as an Investment Consultant to employer-sponsored retirement plans such as 401(k) plans. Client relationships vary in scope and level of service.

ACCOUNT MINIMUMS

The minimum account size (investment portfolio) is \$500,000 of assets under management, which equates to an annual fee of \$5,000. PVP, in its discretion, may choose to waive or reduce the account minimum.

METHODS OF ANALYSIS, INVESTMENT STRATEGIES AND RISK OF LOSS

METHODS OF ANALYSIS

The main sources of information include academic research, financial newspapers and magazines, research materials prepared by others, corporate rating services, annual reports, prospectuses, filings with the Securities and Exchange Commission, and company press releases.

Other sources of information that PVP uses include Morningstar Principia mutual fund information, Morningstar Principia stock information, Charles Schwab & Company's "Schwab Advisor Center" service, and the World Wide Web.

INVESTMENT STRATEGIES

PVP employs an investment strategy based on a disciplined, academically-based philosophy most closely affiliated with Modern Portfolio Theory. We adhere to the efficient market hypothesis, and firmly believe that the time and expense applied to attempts to outperform various market benchmarks results in no added value to the investor. We do not apply analysis designed to select specific securities (stocks) nor do we "time" the markets. Instead, we include low cost, tax-efficient asset classes in the form of open-ended mutual funds and exchange-traded funds (ETFs) as well as individual bonds in the engineering of a client's portfolio. Our application of an indexed approach is designed to achieve the returns of a diversified global portfolio in a cost effective and tax efficient manner.

RISK OF LOSS

PVP devotes a significant amount of time educating clients about the risks associated with investing in the capital markets. Our investment approach is structured around the idea that clients can be "patient sellers," knowing that their investments are designed with volatility in mind. However, clients are exposed to investment risks including the following:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, mutual fund or ETF may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.

- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

DISCIPLINARY INFORMATION

LEGAL AND DISCIPLINARY

PVP and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS

FINANCIAL INDUSTRY ACTIVITIES

Partners Price, and Schaffer are CPAs and provide tax compliance services to clients. Partner Aylin is a licensed insurance agent in the state of Minnesota. From time to time, representatives of PVP may offer clients advice from those services. Clients are under no obligation to utilize these services.

AFFILIATIONS

PVP provides tax compliance services (prepares income tax returns) through an affiliated CPA firm, Irwin Schaffer, LLC, owned by the five partners of PVP.

From time to time PVP will also engage a third party for expert analysis and access to markets for individual bonds. When this occurs, clients will sign an authorization form to allow PVP access to bond markets outside the inventory of a client's account custodian.

PVP receives services, for a fixed annual fee, from DPL Financial Partners, LLC ("DPL"). DPL is a third-party provider of a platform of insurance consultancy services to SEC-registered investment advisers ("RIAs") that have clients with a current or future need for insurance products. DPL, through its licensed insurance agents, who are also registered representatives of The Leaders Group, Inc. ("The Leaders Group"), an unaffiliated SEC-registered broker-dealer and FINRA member, offers members a variety of services relating to fee-based insurance products. These services include, among others, providing members with analyses of their current methodology for evaluating client insurance needs, educating and acting as a resource to members regarding general and specific insurance products owned by their clients or that their clients are considering purchasing, and providing members access to product marketing support regarding fee-based products that insurers have agreed to offer to members' clients through DPL's platform. For providing platform services to RIAs, DPL receives service fees from the insurers that offer their fee-based products through the platform. These service fees are based on the insurance premiums received by the insurers. PVP does not receive any fees or commissions from DPL or any insurance carrier from products that may be sold to clients.



CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

CODE OF ETHICS

The employees of PVP have committed to a Code of Ethics that is available for review by clients and prospective clients upon request. The Code of Ethics addresses the issues of protecting the confidentiality of client information, prohibiting insider trading, conflicts of interest and personal securities trading procedures, among other topics. All supervised persons must acknowledge the provisions of the Code of Ethics annually, or as amended. Furthermore, CFP® (Certified Financial Planners) designees are also held to a Code of Ethics as outlined by the CFP® Board of Standards.

PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS

PVP and its employees buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of client trades. Employees comply with the provisions of the *PVP Compliance Manual*. As a Fiduciary, PVP puts the interests of its clients first.

BROKERAGE PRACTICES

SELECTING BROKERAGE FIRMS

PVP does not have any affiliation with product sales firms. Specific custodian recommendations are made to clients based on their need for such services. PVP recommends custodians based on the proven integrity and financial responsibility of the firm, service quality and best execution of orders at reasonable commission rates. PVP does not receive fees or commissions from any of these arrangements.

Charles Schwab

PVP uses Schwab Institutional — a division of Charles Schwab & Co., Inc. as one of its custodians for client accounts. Although PVP advises clients to establish accounts with Schwab, it is the client's decision as to where to custody their assets.

Schwab provides PVP with access to its institutional trading and custody services, which are typically not available to Schwab retail investors. These services generally are available to independent investment advisors on an unsolicited basis, so long as a total of at least \$10 million of the advisor's clients' assets are maintained in accounts at Schwab Institutional. These services are not contingent upon PVP committing to Schwab any specific amount of business (assets in custody or trading commissions).

For PVP client accounts maintained in its custody, Schwab generally does not charge separately for custody services but is compensated by account holders through commissions and other transaction-related or asset-based fees for securities trades that are executed through Schwab or that settle into Schwab accounts.

Schwab Institutional also makes available to PVP other products and services that benefit PVP but may not directly benefit its clients' accounts. Many of these products and services may be used to service all or some substantial number of PVP accounts, including accounts not maintained at Schwab.

Schwab's products and services that assist PVP in managing and administering clients' accounts include software and other technology that 1) provide access to client account data (such as trade confirmations and account statements); 2) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; 3) provide research, pricing and other market data; 4) facilitate payment of PVP's fees from its clients' accounts; and 5) assist with back-office functions, record keeping and client reporting.

TD Ameritrade

PVP participates in the institutional customer program offered by TD Ameritrade Institutional. TD Ameritrade Institutional is a division of TD Ameritrade Inc., member FINRA/SIPC ("TD Ameritrade"), an unaffili-

ated SEC-registered broker-dealer and FINRA member. TD Ameritrade offers to independent investment advisors services which include custody of securities, trade execution, and clearance and settlement of transactions. PVP receives some benefits from TD Ameritrade through its participation in the program.

PVP may recommend TD Ameritrade to clients for custody and brokerage services. There is no direct link between PVP's participation in the program and the investment advice it gives to its clients, although PVP receives economic benefits through its participation in the program that are typically not available to TD Ameritrade retail investors. These benefits include the following products and services (provided without cost or at a discount): duplicate client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving advisor participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to client accounts); the ability to have advisory fees deducted directly from client accounts; access to an electronic communications network for client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to PVP by third party vendors. Some of the products and services made available by TD Ameritrade through the program may benefit PVP but may not benefit its client accounts. These products or services may assist PVP in managing and administering client accounts, including accounts not maintained at TD Ameritrade. Other services made available by TD Ameritrade are intended to help PVP manage and further develop its business enterprise. The benefits received by PVP through participation in the program do not depend on the amount of brokerage transactions directed to TD Ameritrade. Clients should be aware, however, that the receipt of economic benefits by PVP or its related persons in and of itself creates a potential conflict of interest and may indirectly influence PVP's recommendation of TD Ameritrade for custody and brokerage services.

Fidelity Institutional

PVP uses Fidelity Institutional ("Fidelity") — a registered broker dealer, member FINRA/SIPC, as one of its custodians for client accounts. Although PVP advises clients to establish accounts with Fidelity, it is the client's decision as to where to custody their assets.

Fidelity also makes available to PVP other products and services that benefit PVP but may not benefit clients' accounts. Some of these other products and services assist us in managing and administering clients' accounts. These include: software and other technology that provide access to client account data (such as trade confirmations and account statements), facilitate trade execution (and allocation of aggregated trade orders for multiple client accounts), provide research, pricing information and other market data, facilitate payment of PVP fees from client accounts, and assist with back-office functions, recordkeeping and client reporting.

For client accounts maintained in its custody, Fidelity generally does not charge separately for custody but is compensated by account holders through commissions or other transaction-related fees for securities trades that are executed through Fidelity or that settle into Fidelity accounts. PVP does not share in the commissions charged to clients.

BEST EXECUTION

PRAIRIEVIEW PARTNERS, LLC reviews the execution of trades at each custodian at least annually. Trading fees charged by the custodians is also reviewed on a frequent basis. PVP does not receive any portion of the trading fees.

SOFT DOLLARS

Other than research or brokerage services, PVP does not receive any soft dollars from its arrangements with Custodians.

ORDER AGGREGATION

Most trades are mutual funds or exchange-traded funds where trade aggregation does not garner any client benefit.

REVIEW OF ACCOUNTS

PERIODIC REVIEWS

PVP regularly monitors accounts it manages. Our Investment Team reviews the asset class weightings in all discretionary accounts on an ongoing basis. Changes to client portfolios are driven by several factors including: A client's cash needs, rebalancing (realigning portfolio according to a client's current allocation model), new investment opportunities, tax law changes, change(s) in a client's life circumstances, and change(s) in a client's Risk Profile.

REGULAR REPORTS

Clients receive monthly statements from the Custodian. PVP provides clients with written, customized quarterly reports that include time-weighted returns and billing information. Clients have access to multiple portfolio reports via an online portal access through PVP's web site.

CLIENT REFERRALS AND OTHER COMPENSATION

INCOMING REFERRALS

PVP has been fortunate to receive many client referrals over the years. The referrals have come from current clients, estate planning attorneys, accountants, employees, personal friends of employees and other similar sources.

PVP has entered into a third party solicitation agreement. On occasion, PVP may receive referrals of prospective clients pursuant to a third-party solicitation agreement signed by both parties. As part of our working arrangement, the third-party (an individual) is compensated for any referred individuals who become clients of PVP. Referral fees are paid by PVP as a portion of the quarterly advisory fees received by referred clients. The third-party solicitor is not an employee of **PRAIRIEVIEW PARTNERS, LLC** and will not be providing advisory services to any clients of PVP. The solicitor provides all referred prospective clients with a copy of a disclosure document describing the scope of the arrangement. This document is signed by all referred individuals.

CUSTODY

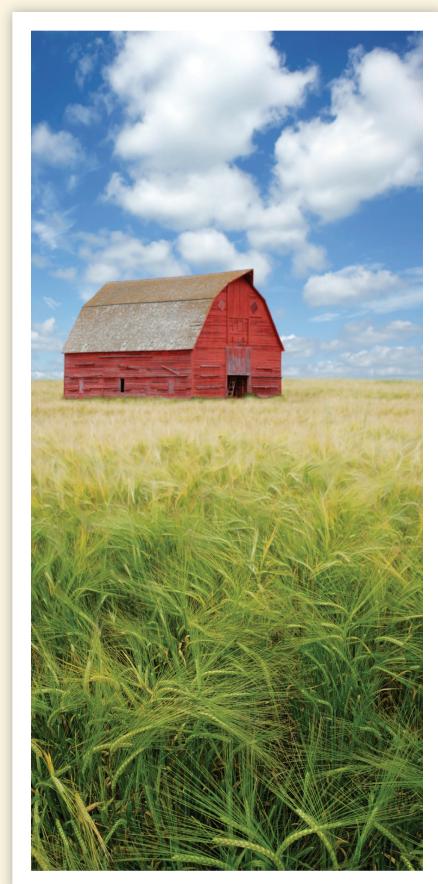
ACCOUNT STATEMENTS

All assets are held at qualified custodians. The custodians provide account statements directly to clients at their address of record or via the custodian's online platform at least quarterly.

Beginning in 2016, PVP arranged for annual surprise audits for a subset of accounts not held at Schwab, TD Ameritrade, Fidelity or TIAA, and for which PVP holds login credentials.

PERFORMANCE REPORTS

Clients are urged to compare the account statements received directly from their custodians to the holding report statements provided by PVP.



INVESTMENT DISCRETION

DISCRETIONARY AUTHORITY FOR TRADING

PVP accepts discretionary authority to manage securities accounts on behalf of clients. PVP has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold.

Discretionary trading authority allows PVP to place trades in client accounts so that we may promptly implement the agreed upon investment objectives. In most cases, clients are provided with an opportunity for review and discussion prior to implementation of recommendations.

LIMITED POWER OF ATTORNEY

A limited power of attorney is a trading authorization for this purpose. Clients sign a limited power of attorney so that PVP may execute trades in order to implement the recommended and client-approved plan.

VOTING CLIENT SECURITIES

PROXY VOTES

PVP does not vote proxies on securities. Clients are expected to vote their own proxies. Clients will receive proxies or other solicitations directly from their custodian or a transfer agent.

FINANCIAL INFORMATION

FINANCIAL CONDITION

PVP does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because PVP does not serve as a custodian for client funds or securities, and does not require prepayment of fees of more than \$1,200 per client, and six months or more in advance.



SUPERVISED PERSONS

- JONATHAN JARANSON • KRISTY SCHAFFER • ROBERT AYLIN • MATTHEW WEIER
- PAULA PRICE • TERESA BIRD • ELLAN HOWLEY • LUKE MURRAY • NOAH WOLTHUIS
- DILLON ESSMA • BRADY PEAT • NOLAN DIETEL • AMANDA PARSONS

Additional information about Jonathan Jaranson, Kristy Schaffer, Robert Aylin, Matthew Weier, Paula Price, Teresa Bird, Ellan Howley, Luke Murray, Noah Wolthuis, Dillon Essma, Brady Peat, Nolan Dietel, and Amanda Parsons are available on the SEC's website at www.adviserinfo.sec.gov. Click on the "Investment Adviser Search" link and then search for "Individual" using the individual's CRD number. Jonathan Jaranson (4021657), Kristy Schaffer (4194883), Robert Aylin (2855413), Matthew Weier (4672338), Paula Price (7084001), Teresa Bird (7512675), Ellan Howley (6214007), Luke Murray (6288143), Noah Wolthuis (6959851), Dillon Essma (6291646), Brady Peat (7646864), Nolan Dietel (7646847), and Amanda Parsons (7294346).

The Brochure Supplement (Part 2B of Form ADV) contains the biographies of the advisors in the firm. The Brochure Supplement may be provided separately, or as part of the Part 2A Brochure (recommended solution). Distributing the Firm Brochure is simplified if Part 2A and Part 2B are combined into one document.

CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification.

Jonathan Mark Jaranson, CFP®

Educational Background:

- Certified Financial Planner™, November, 2007
- St. Olaf College, B.A. in Economics with concentrations in Finance and Accounting, 1994

Business Experience:

2007–Present	Partner	PrairieView Partners, LLC
2007–Present	Partner	Irwin Schaffer, LLC
2002–2007	Chief Investment Officer	Carlson Capital Management
1996–2001	Chief Operations Officer	Carlson Capital Management
1994–1996	Investment Analyst	Carlson Capital Management

Disciplinary Information: None

Other Business Activities: Mr. Jaranson is a Partner in Irwin Schaffer, LLC. As a non-CPA, Mr. Jaranson is not active in the accounting work, but is involved in the day-to-day operation of the business. Mr. Jaranson may spend approximately 10 hours per month in this capacity.

Additional Compensation: Mr. Jaranson receives additional compensation through his partnership in Irwin Schaffer, LLC.

Supervision: Robert Aylin, Managing Member, oversees Mr. Jaranson's work at the firm.

Kristy Michelle Schaffer, CPA, CFP®, PFS

Educational Background:

- M.S. in Financial Planning, 2006
- Personal Financial Specialist, 2003
- University of Redlands, B.A. in Business Administration/International Relations, 1995
- Certified Financial Planner™, 2003
- Certified Public Accountant, 2000

Business Background:

2007–Present	Partner	PrairieView Partners, LLC
2007–Present	Partner	Irwin Schaffer, LLC
2002–2007	Senior Planner	Carlson Capital Management
2002–2002	Advisor	SII Investments
2001–2002	CPA	HLB Tautges Redpath
2000–2001	CPA	PricewaterhouseCoopers
1999–2000	Staff Accountant	Swink, Fiehler & Assoc.

Disciplinary Information: None

Other Business Activities: Ms. Schaffer is a Partner in Irwin Schaffer, LLC. Ms. Schaffer spends approximately 100 hours per month in this capacity.

Additional Compensation: Ms. Schaffer receives additional compensation through her partnership in Irwin Schaffer, LLC.

Supervision: Robert Aylin, Managing Member, oversees Ms. Schaffer's work at the firm.

Robert Norman Aylin, III

Educational Background:

- MN Life/Health Insurance License, 1997
- Series 7 & Series 66 Securities Licenses, 1997 (Licenses to sell securities are not currently active)
- Colorado State University, M.S. in Higher Ed. Administration, 1992
- University of Vermont, B.A. in Psychology & Political Science, 1989

Business Background:

2007–Present	Partner	PrairieView Partners, LLC
2007–Present	Partner	Irwin Schaffer, LLC
2000–2007	Senior Planner	Carlson Capital Management
2006–2007	Registered Representative	M. Wealth
2000–2004	Registered Representative	FSC Securities Corp.
1998–2000	Registered Representative	Charles Schwab & Co.
1997–1998	Registered Representative	Morgan Stanley Dean Witter

Disciplinary Information: None

Other Business Activities: Mr. Aylin is a Partner in Irwin Schaffer, LLC. As a non-CPA, Mr. Aylin is not active in the accounting work, but is involved in the day-to-day operation of the business. Mr. Aylin may spend approximately 10 hours per month in this capacity.

Additional Compensation: Mr. Aylin receives additional compensation through his partnership in Irwin Schaffer, LLC.

Supervision: As Chief Compliance Officer, Robert ("Bo") Aylin, is responsible for overseeing the firm's practices are aligned with policy and the Code of Ethics and that each member of the firm is in compliance with policies of the firm and SEC regulations. Jonathan Jaranson oversees Mr. Aylin's work at the firm.

Matthew John Weier, CFA, CFP®

Educational Background:

- University of Connecticut, MBA in Finance, 2012
- Chartered Financial Analyst, 2011
- Certified Financial Planner™, 2006
- Northern Michigan University, B.S. in Economics, 2003

Business Background:

2021–Present	Partner	PrairieView Partners, LLC
2014–2021	Senior Wealth Manager	PrairieView Partners, LLC
2011–2014	Product Manager	Prudential Financial
2010–2011	MBA Intern	Prudential Financial
2010–2011	Full-time student	University of Connecticut
2003–2010	Portfolio Manager	Mommaerts Mahaney Financial

Disciplinary Information: None

Other Business Activities: Mr. Weier is a Partner in Irwin Schaffer, LLC. As a non-CPA, Mr. Weier is not active in the accounting work, but is involved in the day-to-day operation of the business. Mr. Weier may spend approximately 10 hours per month in this capacity.

Additional Compensation: None

Supervision: Jonathan Jaranson, Managing Member, oversees Mr. Weier's work at the firm.

Paula Ann Price, CPA, CFP®

Educational Background:

- Certified Financial Planner™, 2017
- University of Minnesota, Master of Business in Taxation, 2006
- Certified Public Accountant, 2003
- University of Minnesota, B.S. in Accounting, 2001

Business Background:

2021–Present	Partner	PrairieView Partners, LLC
2017–2021	Senior Wealth Manager	PrairieView Partners, LLC
2012–2017	Tax Analyst	PrairieView Partners, LLC
2007–2012	Senior Tax Accountant	Thomson Reuters
2006–2007	Tax Manager	Grant Thornton LLP
2004–2006	Senior Tax Associate	Grant Thornton LLP
2003–2004	Domestic Tax Specialist	NRG Energy, Inc.

Disciplinary Information: None

Other Business Activities: Ms. Price is a Partner in Irwin Schaffer, LLC. As a CPA, Ms. Price spends approximately 60 hours per month in this capacity.

Additional Compensation: Ms. Price receives additional compensation through her partnership in Irwin Schaffer, LLC.

Supervision: Kristy Schaffer, Partner, oversees Ms. Price's work at the firm.

Teresa Bird, CPA, CFP®

Educational Background:

- Certified Financial Planner™, 2021
- Certified Public Accountant, 2013
- University of Wisconsin – River Falls, Bachelors of Science, Accounting, 2011

Business Background:

2021–Present	Wealth Manager	PrairieView Partners, LLC
2019–2021	Tax Advisor	Carlson Capital Management
2013–2018	Lead Tax Manager	RSM US
2012–2013	Tax Associate	HLB Tautges Redpath Ltd.

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Paula Price, Partner, oversees Ms. Bird's work at the firm

Ellan Howley, CFP®

Educational Background:

- Certified Financial Planner™, 2016
- St. Olaf College, B.A. in Mathematics, 2013

Business Background:

2022–Present	Planning and Operations Manager	PrairieView Partners, LLC
2020–2022	Financial Planning Operations Specialist	PrairieView Partners, LLC
2016–2020	Associate Wealth Manager	PrairieView Partners, LLC
2013–2016	Financial Consulting Assistant	Fure Financial

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Jonathan Jaranson, Managing Member, oversees Ms. Howley's work at the firm.

Luke Murray, CFP®, CPWA®

Educational Background:

- Certified Private Wealth Advisor®, 2017
- Certified Financial Planner™, 2008
- Minnesota State University, Financial Planning Certificate Program, 2008
- University of Wisconsin – Stout, B.S., General Business Administration, 2000

Business Background:

2021–Present	Senior Wealth Manager	PrairieView Partners, LLC
2000–2021	Client Advisor	Fiduciary Counselling, Inc.

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Matt Weier, Partner, oversees Mr. Murray's work at the firm.

Noah Wolthuis, CFP®

Educational Background:

- Certified Financial Planner™, 2022
- Central Michigan University, B.S. in Business Administration, 2019
- Kalamazoo Valley Community College, 2013–2016

Business Background:

2022–Present	Senior Financial Planning Analyst	PrairieView Partners, LLC
2020–2022	Financial Planning Analyst	PrairieView Partners, LLC
2019–2020	Support Advisor	Capital Stewardship Partners
2019–2020	Client Services Admin	ESI Financial
2018	Intern/Agent	New York Life

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Robert Aylin, Partner, oversees Mr. Wolthuis' work at the firm.

Dillon Essma

Educational Background:

- University of Wisconsin – Milwaukee, B.A. in Finance and Accounting, 2013

Business Background:

2022–Present	Portfolio Manager	PrairieView Partners, LLC
2021–2022	Senior Portfolio Analyst	PrairieView Partners, LLC
2019–2021	Portfolio Manager	U.S. Bank
2016–2019	Investment Management Specialist	Wells Fargo
2014–2016	Associate	Green Street Advisors, LLC
2013	Equity Analyst	Nicholas and Company

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Matt Weier, Partner, oversees Mr. Essma's work at the firm.

Brady Peat

Educational Background:

- University of Wisconsin – Madison B.S. in Financial Planning – 2018–2022

Business Background:

2022–Present	Financial Planning Analyst	PrairieView Partners, LLC
2020–2022	Investment Intern	Googins Advisors

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Matt Weier, Partner, oversees Mr. Peat's work at the firm.

Nolan Dietel

Educational Background:

- University of Minnesota Duluth, B.B.A. in Financial Planning, 2022
- University of Minnesota Duluth, B.S. in Statistics and Actuarial Science, 2022

Business Background:

2022–Present	Financial Planning Analyst	PrairieView Partners, LLC
2021	Financial Intern	MD Financial Advisors

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Matt Weier, Partner, oversees Mr. Dietel's work at the firm.

Amanda Parsons

Educational Background:

- University of Minnesota Duluth, B.B.A. in Finance, minor in Human Resources & Marketing, 2020
- Obtained Series 65, 2020 and Life, Accident, Health Insurances, 2021

Business Background:

2022–Present	Financial Planning and Client Service Analyst	PrairieView Partners, LLC
2020–2021	Client Service Manager	MD Financial Advisors
2018–2020	Buyer Intern	Altec Industries

Disciplinary Information: None • Other Business Activities: None • Additional Compensation: None

Supervision: Ellan Howley, Planning and Operations Manager, oversees Ms. Parsons' work at the firm.



PRAIRIEVIEW PARTNERS

PERSONAL WEALTH MANAGEMENT

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