



IAPD Report

BLAKE ANDREW PRATZ

CRD# 1284166

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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

BLAKE ANDREW PRATZ (CRD# 1284166)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	09/20/2016
IA	ICON WEALTH PARTNERS	CRD# 319609	08/02/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	ICON WEALTH PARTNERS, LLC	283098	HOUSTON, TX	08/18/2016 - 08/01/2022
B	UBS FINANCIAL SERVICES INC.	8174	HOUSTON, TX	10/15/2010 - 09/15/2016
IA	UBS FINANCIAL SERVICES INC.	8174	HOUSTON, TX	10/15/2010 - 09/15/2016

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

DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**
Main Address: 80 STATE STREET
ALBANY, NY 12207
Firm ID#: 35747

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/20/2016
B Arizona	Agent	Approved	04/30/2025
B California	Agent	Approved	09/20/2016
B Georgia	Agent	Approved	10/21/2022
B Louisiana	Agent	Approved	09/20/2016
B Minnesota	Agent	Approved	10/21/2022
B Nevada	Agent	Approved	09/20/2016
B North Carolina	Agent	Approved	07/12/2018
B Texas	Agent	Approved	09/20/2016

Branch Office Locations

1980 Post Oak Blvd.
Suite 1300
Houston, TX 77056

Paradise Valley, AZ

Employment 2 of 2

Firm Name: **ICON WEALTH PARTNERS**
Main Address: 1980 POST OAK BOULEVARD



Qualifications

Firm ID#: SUITE 1300
HOUSTON, TX 77056
319609

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	04/30/2025
IA	Texas	Investment Adviser Representative	Approved	08/02/2022

Branch Office Locations

ICON WEALTH PARTNERS
1980 POST OAK BOULEVARD
SUITE 1300
HOUSTON, TX 77056



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, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/01/1999
 General Securities Representative Examination (S7)	Series 7	08/18/1984

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/25/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1984

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	08/18/2016 - 08/01/2022	ICON WEALTH PARTNERS, LLC	CRD# 283098	HOUSTON, TX
B	10/15/2010 - 09/15/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	HOUSTON, TX
IA	10/15/2010 - 09/15/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	HOUSTON, TX
B	06/01/2009 - 11/02/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	HOUSTON, TX
IA	06/01/2009 - 11/02/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	HOUSTON, TX
B	08/20/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
IA	08/20/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
B	01/01/1991 - 08/25/1993	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/15/1987 - 01/01/1991	ROTAN MOSLE INC.	CRD# 727	
B	08/23/1984 - 07/16/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	Icon Wealth Advisors, LLC	Managing Partner	Y	Houston, TX, United States
09/2016 - Present	PURSHE KAPLAN STERLING INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
08/2016 - 08/2022	ICON WEALTH PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	HOUSTON, TX, United States
10/2010 - 08/2016	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	HOUSTON, TX, United States



Registration & Employment History



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) Mr. Pratz is dually-registered with Icon Wealth Partners, LLC ("Icon") and Purshe Kaplan Sterling Investments, Inc. ("PKS"). Mr. Pratz has served as an investment advisor representative for Icon since 8/2016 and a registered representative with PKS since 9/2016. Business is conducted from 1980 Post Oak Boulevard, Suite 1300 Houston, TX 77056. Approximately 90% of Mr. Pratz's time is for services as an investment advisor representative and the balance as a registered representative.
- 2) Licensed Insurance Agent; investment related; 1980 Post Oak Boulevard, Suite 1300 Houston TX 77056; Insurance Sales - up to 1 hours/month



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

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

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

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

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

Disclosure 1 of 2

Reporting Source: Individual

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

Allegations: TIME FRAME: APRIL 11, 2011 TO OCTOBER 28, 2014
CLIENT ALLEGES THAT THEY DID NOT UNDERSTAND THAT COLLATERAL WAS NEEDED IN HIS ACCOUNT TO COVER A CHECK HE WROTE ON HIS LINE OF CREDIT AND FEELS THAT THESE DETAILS WERE NOT EXPLAINED TO HIM. CLIENT FURTHER IS UPSET OVER THE RECOMMENDATION TO PURCHASE AND THEN HOLD ONTO FANNIE MAE AND FREDDIE MAC INVESTMENTS WHICH WERE REPRESENTED TO BE SAFE.

Product Type: Other: EQUITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,000.00.

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: 11/03/2014

Complaint Pending? No



Status: Denied

Status Date: 12/15/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement We deny these allegations as we firmly believe they are baseless and have no validity. The client has had a line of credit or a margin account for the last twenty years. He was fully aware of the limits on both the Line of Credit and the margin account when he signed the UBS agreement. The rules and risks of not having enough assets on deposit to cover the Line of Credit or the margin account were presented to the client on multiple occasions over the last twenty years. There have been numerous times when the client had margin calls and he either liquidated funds or made deposits to cover these calls. In this case, UBS requested the client bring in less than \$1500 to cover a credit line call; he could not, and the firm liquidated a position in his account to cover the shortage. We completely disagree with the client's complaints.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.

Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT IN JULY OF 2008 THE FINANCIAL ADVISOR MISREPRESENTED UNSUITABLE INVESTMENTS TO THE CLAIMANT.

Product Type: Equity Listed (Common & Preferred Stock)
Other: FANNIE MAE; FREDDIE MAC

Alleged Damages: \$33,590.50

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01584

Filing date of arbitration/CFTC reparation or civil litigation: 04/12/2011

Customer Complaint Information

Date Complaint Received: 05/03/2011

Complaint Pending? No

Status: Settled

Status Date: 06/30/2011

Settlement Amount: \$15,000.00

Individual Contribution \$0.00

**Amount:****Firm Statement**

THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES, WITH NO ADMISSION OF LIABILITY BY THE FIRM OR BROKER. BROKER DID NOT CONTRIBUTE TO SETTLEMENT.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

CITIGROUP GLOBAL MARKETS, INC.

Allegations:

CLAIMANT ALLEGES, INTER ALIA, THAT IN JULY OF 2008 THE FINANCIAL ADVISOR MISREPRESENTED UNSUITABLE INVESTMENTS TO THE CLAIMANT.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$33,590.50

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

11-01584

Filing date of arbitration/CFTC reparation or civil litigation:

04/12/2011

Customer Complaint Information**Date Complaint Received:**

05/03/2011

Complaint Pending?

No

Status:

Settled

Status Date:

06/30/2011

Settlement Amount:

\$15,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

THE ADVISOR INHERITED THE CLIENT WHEN THE FIRM, MORGAN STANLEY SMITH BARNEY, REQUESTED THAT THE ADVISOR TAKE OVER THE CLIENT'S ACCOUNTS. THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES, WITH NO ADMISSION OF LIABILITY BY THE FIRM OR BROKER. BROKER DID NOT CONTRIBUTE TO SETTLEMENT. BELIEVE THE CLIENT'S COMPLAINT IS IN REFERENCE TO A RECOMMENDATION OF TWO PREFERRED ISSUED BY FANNIE MAE AND FREDDIE MAC. THESE INVESTMENTS WERE RECOMMENDED AND FOLLOWED BY SMITH BARNEY AT THE TIME. THESE INVESTMENTS ALSO WERE IN LINE WITH THE CLIENTS RISK ALLOCATION AT THE TIME AS HE NEEDED CURRENT INCOME AND HELD A LARGE POSITION IN PREFERRED ALREADY. THIS INVESTMENT, IN THESE TWO PREFERREDS TOTALED LESS THAN 5% OF HIS ACCOUNT VALUE.

THE PREFERREDS HAD DROPPED IN VALUE FROM AN INITIAL OFFERING



PRICE OF \$25 A SHARE. FUNDS WERE ALLOCATED IN 2008 TO THESE INVESTMENTS WHEN THE PRICE WAS AT AROUND 16-17 DOLLARS FOR THE CLIENT. THE GOVERNMENT TOOK OVER THESE INVESTMENTS LATER THAT YEAR AND SUSPENDED THE DIVIDEND.



End of Report

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