IAPD Report

J PAUL BRIAN PRASIFKA

CRD# 2505090

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

J PAUL BRIAN PRASIFKA (CRD# 2505090)

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 **06/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GRADIENT SECURITIES, LLC	CRD# 127701	12/20/2022
IA	GRADIENT WEALTH MANAGEMENT	CRD# 127701	03/19/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** jurisdiction(s).

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

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	RHODES SECURITIES, INC.	19610	Fort Worth, TX	05/20/2013 - 12/21/2022
B	PRINCOR FINANCIAL SERVICES CORPORATION	1137	FORT WORTH, TX	12/12/2008 - 05/24/2013
B	ONE ORCHARD EQUITIES, INC.	42124	GREENWOOD VILLAGE, CO	01/03/1997 - 04/16/1997

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
Regulatory Event	1
Criminal	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 **2** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**GRADIENT WEALTH MANAGEMENT**
Main Address:	4105 LEXINGTON AVENUE N SUITE 380 ARDEN HILLS, MN 55126
Firm ID#:	127701

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	12/20/2022
B	Oklahoma	Agent	Approved	06/10/2026
IA	Oklahoma	Investment Adviser Representative	Approved	06/10/2026
B	Texas	Agent	Approved	12/20/2022
IA	Texas	Investment Adviser Representative	Approved	03/19/2025

Branch Office Locations

GRADIENT WEALTH MANAGEMENT
Crowley, TX

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/11/2008

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/17/2025
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/2008

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/20/2013 - 12/21/2022	RHODES SECURITIES, INC.	CRD# 19610	Fort Worth, TX
B	12/12/2008 - 05/24/2013	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	FORT WORTH, TX
B	01/03/1997 - 04/16/1997	ONE ORCHARD EQUITIES, INC.	CRD# 42124	GREENWOOD VILLAGE
B	06/27/1994 - 01/03/1997	THE GREAT-WEST LIFE ASSURANCE COMPANY	CRD# 5927	ENGLEWOOD, CO

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
12/2022 - Present	GRADIENT SECURITIES, LLC	Registered Representative	Y	Arden Hills, MN, United States
05/2013 - 12/2022	RHODES SECURITIES, INC.	INDEPENDENT REGISTERED REPRESENTATIVE	Y	FORT WORTH, 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.

1. AMERICAN SENIOR BENEFITS; INV RELATED; 5501 W. ROSEDALE STREET, FORT WORTH, TX 76107; INSURANCE; INSURANCE AGENT; START 8/2022; 120 HOURS PER MONTH; 110 HOURS DURING SECURITIES TRADING HOURS; SALES OF MEDICARE, HEALTH, LIFE. 2. SENIOR INSURANCE BROKERS, LLC; INV RELATED; 5501 W. ROSEDALE, FORT WORTH, TX, 76107; INSURANCE; INSURANCE AGENT; START 08/2022; 120 HOURS PER MONTH; 110 HOURS DURING TRADING HOURS; INSURANCE SALES. 3. CHESAPEAKE ENERGY; NOT INV RELATED; 10024 CARSON RANCH ROAD, CROWLEY, TX 76036; MINERAL RIGHTS; OWNER; START 9/2003; 0 HOURS PER MONTH; 0 HOURS DURING TRADING HOURS; RECEIVE NATURAL GAS COMPENSATION FOR LAND/HOMESTEAD. 4. FORT WORTH TEXAS EXES; NOT INV RELATED; VARIOUS LOCATIONS; ALUMNI ASSOCIATION; PRESIDENT ELECT; START 07/2024; 5-10 HOURS PER MONTH; 0 HOURS DURING SECURITIES TRADING HOURS; ORGANIZES CHAPTER ACTIVITIES.

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
Regulatory Event	1
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Texas
Sanction(s) Sought:	Reprimand
Date Initiated:	04/27/2023
Docket/Case Number:	IC_23_CAF_02
URL for Regulatory Action:	https://www.ssb.texas.gov/sites/default/files/2023-04/IC_23_CAF_02.pdf
Employing firm when activity occurred which led to the regulatory action:	Gradient Securities, LLC
Product Type:	No Product
Allegations:	While registered as an agent of Rhodes Securities, Prasifka was charged with a felony offense on May 7, 2019. It was not until a filing on February 8, 2023, that Prasifka reported the Felony Charge on his Form U4. Prasifka's failures to report to the Securities Commissioner the Felony Charge within thirty (30) days is a violation of § 115.9(a)(2) of the Board Rules. Pursuant to Section 4007. 105(a)(13)(B) of the Texas Securities Act, the aforementioned violation of the Board Rules constitutes a basis for the issuance of an Order reprimanding Prasifka. Pursuant to Section 4007.106(a)(3) of the Texas Securities Act, Respondent's aforementioned violation of the Board Rules constitutes a basis for the assessment of an administrative fine against Prasifka.
Current Status:	Final
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/27/2023
Sanctions Ordered:	Letter of Reprimand
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	04/27/2023
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	Texas State Securities Board
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/05/2023
Docket/Case Number:	IC-23-CAF-02
Employing firm when activity occurred which led to the regulatory action:	Rhodes Securities, Inc
Product Type:	No Product
Allegations:	Failure to report a felony charge within 30 days from May 7, 2019 to Rhodes Securities Inc, not disclosing felony even when completing Rhodes Securities annual questionnaire as well as incorrectly answering question 14A(1)(B) with "no" when submitting a U4 update to the firm in December of 2020. Additionally, incorrectly answering 14A(1)(B) while registering with Gradient Securities, LLC in December of 2022.
Current Status:	Final
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/21/2023
Sanctions Ordered:	Other: Order reprimanding respondent and administrative fine.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	5000.00 paid in full
Is Payment Plan Current:	Yes
Date Paid by individual:	04/21/2023
Was any portion of penalty waived?	No
Amount Waived:	

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
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	District Court of Harris County Texas
Location of Court:	Harris County, TX
Docket/Case #:	1630750
Charge Date:	05/07/2019
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Third degree felony - DWI. NO PLEA FOR ORIGINAL DWI THIRD FELONY CHARGE AND "GUILTY" FOR DISPOSITION FOR REDUCED MISDEMEANOR CHARGE.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No Plea
Disposition of charge:	Reduced
Date of Amended Charge:	01/26/2021
Charge was Amended or reduced to:	Reduced to misdemeanor DWI 2nd
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Reduced
Current Status:	Final
Status Date:	05/08/2019
Disposition Date:	01/20/2021
Sentence/Penalty:	1 year jail, all but 10 days suspended, 2 years probation, 60 hours community service, 1 year drivers license suspended, SCRAM device.

End of Report

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