



IAPD Report

PAULA K DEITERING

CRD# 4071401

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

PAULA K DEITERING (CRD# 4071401)

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 **04/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRAIRIE WEALTH ADVISORS, INC.	CRD# 165266	04/09/2014

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	MORGAN STANLEY	149777	OMAHA, NE	06/01/2009 - 01/27/2014
IA	MORGAN STANLEY	149777	OMAHA, NE	06/01/2009 - 01/27/2014
IA	CITIGROUP GLOBAL MARKETS INC.	7059	OMAHA, NE	10/31/2007 - 06/01/2009

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
Customer Dispute	1
Termination	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PRAIRIE WEALTH ADVISORS, INC.**
Main Address: 10250 REGENCY CIRCLE
SUITE 115
OMAHA, NE 68114
Firm ID#: 165266

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/26/2021
IA	Nebraska	Investment Adviser Representative	Approved	04/09/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	04/02/2024

Branch Office Locations

PRAIRIE WEALTH ADVISORS, INC.
10250 REGENCY CIRCLE
SUITE 115
OMAHA, NE 68114

PRAIRIE WEALTH ADVISORS, INC.
ST. AUGUSTINE, FL



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, 1 general industry/product exam, and 3 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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B General Securities Representative Examination (S7)	Series 7	01/10/2000
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	01/07/2014
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/22/2007
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/12/2000
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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
B	06/01/2009 - 01/27/2014	MORGAN STANLEY	CRD# 149777	OMAHA, NE
IA	06/01/2009 - 01/27/2014	MORGAN STANLEY	CRD# 149777	OMAHA, NE
IA	10/31/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	OMAHA, NE
B	10/31/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	OMAHA, NE
B	01/12/2000 - 10/30/2006	EDWARD JONES	CRD# 250	BELLEVUE, NE

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
03/2014 - Present	PRAIRIE WEALTH ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, 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) ILS, LLC - OWNER. APRIL 2007 TO PRESENT. NOT INVESTMENT RELATED. MINIMAL TIME SPENT ON THIS ACTIVITY, NONE DURING TRADING HOURS. 9222 BRENTWOOD DRIVE, LAVISTA, NE 68128. ENTITY USED FOR TAX RELATED PURPOSES ONLY.
- 2) BELLEVUE SENIOR CENTER ENDOWMENT FUND - BOARD MEMBER. 2004 TO PRESENT. INVESTMENT RELATED. DUTIES INCLUDE ATTENDING BOARD MEETINGS, VOLUNTEERING AT EVENTS, MANAGING THE FUNDS AND MAKING RECOMMENDATIONS ON BUDGET AND FUNDRAISERS. SPEND 2 HRS/MONTH ON THIS ACTIVITY AND LESS THAN AN HOUR/MONTH DURING NORMAL TRADING HOURS. 109 W. 22ND AVE., BELLEVUE, NE 68005-5001.



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
Customer Dispute	1
Termination	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:	NEBRASKA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Requalification Suspension
Date Initiated:	09/30/2013
Docket/Case Number:	CONTACT NDBF
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	EDWARD JONES
Product Type:	No Product
Allegations:	DISHONEST AND UNETHICAL BUSINESS PRACTICES IN CONNECTION WITH CLIENT ACCOUNT DOCUMENTATION.
Current Status:	Final
Resolution:	Consent



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:

09/30/2013

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Requalification
Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ALL CAPACITIES

Duration:

3 DAYS FOLLOWING THE EFFECTIVE DATE OF THE ORDER

Start Date:

10/01/2013

End Date:

10/03/2013

Requalification 1 of 1

Requalification Type:

Requalification by Exam

Length of time given to requalify:

60 DAYS FROM THE EFFECTIVE DATE OF THE ORDER

Type of exam required :

SERIES 66

Has condition been satisfied:

No

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:

10/18/2013

Was any portion of penalty waived?

No

Amount Waived:

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF NEBRASKA DEPARTMENT OF BANKING AND FINANCE

Sanction(s) Sought:

Monetary Penalty other than Fines
Suspension

Date Initiated:

04/24/2013

Docket/Case Number:

N/A



Employing firm when activity occurred which led to the regulatory action:	EDWARD JONES
Product Type:	No Product
Allegations:	<p>NEBRASKA DEPARTMENT OF BANKING AND FINANCE FOUND THAT:</p> <p>1)BETWEEN JANUARY 26, 2000 AND OCTOBER 21, 2006, DEITERING, WAS REGISTERED AS AN AGENT OF EDWARD D. JONES & CO., L.P.</p> <p>2)PRIOR TO THE MARCH 23, 2007 DISSOLUTION OF HER MARRIAGE TO [EX-SPOUSE], DEITERING PROCESSED FOUR ADDRESS CHANGES ON [THE] CUSTODIAL ACCOUNT FOR THEIR MINOR CHILD, ON WHICH [EX-SPOUSE] WAS THE CUSTODIAN AND DEITERING WAS THE "INVESTMENT ADVISER". UPON OPENING, THE ACCOUNT STATEMENTS WERE MAILED TO THE [EX-SPOUSE'S] RESIDENTIAL ADDRESS. IN OCTOBER 2000, THE MAILING ADDRESS WAS CHANGED TO DEITERING'S BRANCH ADDRESS. IN MAY 2001, THE ADDRESS WAS CHANGED BACK TO THE [EX-SPOUSES'] RESIDENTIAL ADDRESS. IN JULY 2002, THE ADDRESS WAS CHANGED TO A POST OFFICE BOX IN BELLEVUE, NEBRASKA. IN MARCH 2004, THE ADDRESS WAS CHANGED AGAIN TO DEITERING'S BRANCH ADDRESS.</p> <p>3)ON JULY 30, 2003, DEITERING SIGNED [EX-SPOUSE'S] NAME TO A LETTER OF AUTHORIZATION TO CHANGE REGISTRATION OR TRANSFER ASSETS ("LETTER OF AUTHORIZATION") FORM TO TRANSFER A PORTION OF THE ASSETS OF [THE] ACCOUNT TO AN ACCOUNT TITLED IN THE NAME OF DEITERING AS CUSTODIAN FOR THE [EX-SPOUSE'S] MINOR CHILD. THE TRANSFER WAS NOT COMPLETED.</p> <p>4)FROM MAY 3, 2006 TO SEPTEMBER 25, 2006, FIVE CHECKS TOTALING \$4,341.57, WERE DRAWN ON [THE] ACCOUNT AND PAYABLE TO [EX-SPOUSE] AS CUSTODIAN OF THE ACCOUNT AND THEN MAILED TO DEITERING'S BRANCH ADDRESS.</p> <p>5)DEITERING REPRESENTED TO THE DEPARTMENT THAT THE MONEY WAS DEPOSITED INTO THE MINOR CHILD'S 529(B) HARTFORD ACCOUNT OR SAC FEDERAL CREDIT UNION ACCOUNT OR WAS USED TO PAY EXPENSES OF THE MINOR CHILD, INCLUDING A TRIP TO HAWAII AND CAMP IN COLORADO.</p> <p>6)DEITERING ADMITTED TO SIGNING THE DOCUMENTS AND ENDORSING THE CHECKS, BUT CLAIMED THAT HER ACTIONS WERE TAKEN IN HER CAPACITY AS [EX-SPOUSE'S] SPOUSE RATHER THAN AS THE INVESTMENT REPRESENTATIVE OF THE ACCOUNT.</p> <p>7)[EX-SPOUSE] CLAIMED TO HAVE NO PRIOR KNOWLEDGE OF THE ACCOUNT ADDRESS CHANGES, SIGNED LETTER OF AUTHORIZATION, OR ABOVE-MENTIONED CHECKS WRITTEN IN THE ACCOUNT.</p>
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:	09/30/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Requalification Suspension
Sanction 1 of 1	



Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3 DAYS
Start Date:	10/01/2013
End Date:	10/03/2013
Requalification 1 of 1	
Requalification Type:	Re-Training
Length of time given to requalify:	60 DAYS
Type of exam required :	66
Has condition been satisfied:	Yes
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:	90 DAYS FROM THE EFFECTIVE DATE OF THE ORDER
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	FA STATES, "THESE ISSUES RELATED TO THE ACTIVITY FROM 2000 TO 2006 AND WERE FILED BY MY MALICIOUS EX HUSBAND."



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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	COUNTY COURT OF SARPY COUNTY, NEBRASKA; DOC CR 03 PAGE 6205
Charge Date:	09/26/2003
Charge Details:	COUNT 1 FALSE REPORTING CLASS I MISDEMEANOR COUNT 1 ATTEMPTED THEFT BY DECEPTION, CLASS IV FELONY NO PLEA, DISMISSED 4. N/A
Felony?	Yes
Current Status:	Final
Status Date:	10/06/2003
Disposition Details:	A. DISMISSED, B. DISMISSED 10/6/03, C. NONE, D. N/A, E. N/A, F. N/A, G. N/A



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY, INC.
Allegations:	CLIENT ALLEGED THAT THE RECOMMENDATION TO INVEST IN AN ANNUITY WAS UNSUITABLE. DAMAGES UNSPECIFIED. 2013
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	02/18/2014
Complaint Pending?	No
Status:	Denied
Status Date:	04/02/2014

Settlement Amount:

Individual Contribution Amount:

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY, INC.
Allegations:	CLIENT ALLEGED THAT THE RECOMMENDATION TO INVEST IN AN ANNUITY WAS UNSUITABLE. DAMAGES UNSPECIFIED. 2013
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00



Alleged Damages Amount UNSPECIFIED
Explanation (if amount not exact):

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: 02/18/2014

Complaint Pending? No

Status: Denied

Status Date: 04/02/2014

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MORGAN STANLEY
Termination Type:	Discharged
Termination Date:	01/27/2014
Allegations:	THE FIRM STATES THAT THE SELF REGULATORY ORGANIZATION "FINRA" DSQUALIFIED DEITERING AND THEY WERE FORCED TO TERMINATE HER DUE TO SAID DISQUALIFICATION. THIS STEMS FROM THE REGULATORY ACTION AND EX-SPOUSE COMPLAINT PREVIOUSLY DISCLOSED ON THIS FORM.
Product Type:	No Product



End of Report

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