



IAPD Report

Mahe William Prasad

CRD# 4187327

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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

Mahes William Prasad (CRD# 4187327)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026
IA	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026

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
IA	U.S. BANCORP INVESTMENTS, INC.	17868	Denver, CO	09/20/2021 - 02/13/2026
B	U.S. BANCORP INVESTMENTS, INC.	17868	Denver, CO	09/17/2021 - 02/13/2026
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	Phoenix, AZ	08/03/2020 - 06/29/2021

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

Employment 1 of 1

Firm Name: **U.S. BANCORP ADVISORS, LLC**

Main Address: 60 LIVINGSTON AVE
EP-MN-N2WC
SAINT PAUL, MN 55107

Firm ID#: 14455

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/13/2026
B	FINRA	General Securities Sales Supervisor	Approved	02/13/2026
B	Arizona	Agent	Approved	02/13/2026
B	Colorado	Agent	Approved	02/13/2026
IA	Colorado	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

U.S. BANCORP ADVISORS, LLC

950 17th St
Denver, CO 80202



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/09/2008
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/29/2008

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	05/10/2018
	General Securities Representative Examination (S7)	Series 7	05/11/2000

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	02/28/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/22/2000

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
IA	09/20/2021 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Denver, CO
B	09/17/2021 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Denver, CO
B	08/03/2020 - 06/29/2021	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	Phoenix, AZ
IA	09/16/2020 - 06/03/2021	JUNCTURE WEALTH ADVISORS, LLC	CRD# 310350	PHOENIX, AZ
B	11/19/2019 - 03/19/2020	LPL FINANCIAL LLC	CRD# 6413	SCOTTSDALE, AZ
IA	11/26/2019 - 02/21/2020	INTEGRATED WEALTH CONCEPTS LLC	CRD# 284656	Scottsdale, AZ
B	01/03/2011 - 05/10/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	01/03/2011 - 05/10/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SCOTTSDALE, AZ
IA	03/01/2005 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PHOENIX, AZ
B	01/07/2005 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PHOENIX, AZ
B	05/15/2000 - 08/06/2004	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2026 - Present	U.S. Bancorp Advisors, LLC	Private Wealth Management	Y	Denver, CO, United States
06/2021 - Present	U.S. Bank	Private Client Reserve	Y	Denver, CO, United States
03/2015 - Present	The Prasad Family Trust	Trustee	Y	Phoenix, AZ, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2021 - 02/2026	U.S. Bancorp Investments, Inc.	Private Wealth Management	Y	Denver, CO, United States
12/2020 - 06/2021	Juncture 401k	none	Y	Phoenix, AZ, United States
12/2020 - 06/2021	Juncture Retirement Plan Services	none	Y	Phoenix, AZ, United States
08/2020 - 06/2021	JUNCTURE WEALTH ADVISORS, LLC	President, CCO	Y	PHOENIX, AZ, United States
08/2020 - 06/2021	United Planners' Financial Services of America a Limited Partner	Registered Representative	Y	Scottsdale, AZ, United States
06/2020 - 06/2021	Juncture Wealth Strategies	Partner	Y	Scottsdale, AZ, United States
03/2020 - 06/2021	JUNCTURE WEALTH STRATEGIES	MANAGING DIRECTOR	Y	Scottsdale, AZ, United States
11/2019 - 06/2021	Mahes Prasad	Insurance Licensed Agent	Y	Phoenix, AZ, United States
04/2018 - 06/2021	TARA JAYNE LLC	OWNER	N	PHOENIX, AZ, United States
10/2016 - 06/2021	Tara Jayne LLC	Owner	Y	Phoenix, AZ, United States
11/2019 - 03/2020	INTEGRATED PARTNERS	BUSINESS DEVELOPMENT	Y	SCOTTSDALE, AZ, United States
11/2019 - 03/2020	Integrated Wealth Concepts, LLC	Administrative Associate	Y	Scottsdale, MA, United States
11/2019 - 03/2020	LPL Financial, LLC	Administrative Associate	Y	Scottsdale, AZ, United States
06/2019 - 10/2019	JUNCTURE WEALTH STRATEGIES	MANAGING DIRECTOR	Y	SCOTTSDALE, AZ, United States
11/2016 - 04/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, 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) The Prasad Family Trust; Investment-related; Phoenix, AZ; Personal revocable living trust; Trustee; 03/2015; 0 Hrs/Month; 0 Hrs/Trading; Serve as trustee over personal investments.
- 2) Denver Downtown Partnership; Not investment-related; Denver, CO; Non-Profit Organization; Board Member; 6/1/2024; 5 Hrs/Month; 0 Hrs/Trading; Support projects and activities around downtown Denver.
- 3) Legacy Planning Advisory Council - Children's Hospital Colorado; Not investment-related; Aurora, CO; Children's Hospital; Member; 9/9/2025; 2 Hrs/Month; 2 Hrs/Trading; Educational opportunities for advisors to discuss philanthropic planning with clients.



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
Termination	1

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: Firm

Firm Name: Wells Fargo Clearing Services, LLC.

Termination Type: Voluntary Resignation

Termination Date: 04/06/2018

Allegations: At the time of his termination, Mr. Prasad was under review to determine whether there have been inappropriate referrals or recommendations or whether he failed to supervise any inappropriate referrals or recommendations, including with respect to referrals of brokerage customers to the Company's investment and fiduciary services business. The review conducted by the Wells Fargo & Co. Board of Directors did not identify instances in which Mr. Prasad made inappropriate referrals of brokerage customers to the Company's investment and fiduciary services business or failed to supervise the same.

Product Type: No Product

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Reporting Source: Individual

Firm Name: WELLS FARGO ADVISORS

Termination Type: Voluntary Resignation

Termination Date: 04/06/2018

Allegations: At the time of his termination, Mr. Prasad was under review to determine whether there have been inappropriate referrals or recommendations or whether he failed to supervise any inappropriate referrals or recommendations, including with respect to referrals of brokerage customers to the Company's investment and fiduciary services business.

Product Type: No Product



End of Report

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