



Firm Brochure

(Part 2A of Form ADV)

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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 www.adviserinfo.sec.gov

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

The U.S. Securities and Exchange Commission issued a final rule in July 2010 requiring advisers to provide a Firm Brochure in narrative “plain English” format. The new final rule specifies mandatory sections and organization.

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.

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 sell annuities, insurance, stocks, bonds, mutual funds, limited partnerships, or other commissioned products. The firm is not affiliated with entities that sell financial products or securities. No commissions in any form are accepted. No finder’s fees are accepted.

Investment advice is an integral part of financial planning. In addition, PVP advises clients regarding cash flow, college planning, retirement planning, tax planning, estate and philanthropic planning.

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”) and TD Ameritrade Institutional, a Division of TD Ameritrade, Inc. (“TD Ameritrade”), both FINRA registered broker-dealers. 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. Other custodians may be used if PVP and the client agree that doing so will be in the client’s best interest.

As of January 31, 2013, PRAIRIEVIEW PARTNERS, LLC manages approximately \$248,276,833 in assets. Approximately \$244,675,234 is managed on a discretionary basis, and \$3,601,599 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 that 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 in the unlikely event they should occur.

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.

Principal Owners

Our four partners are equal owners of the firm, each with 25%. The owners are:

Robert ("Bo") Aylin, III

Thomas M. Irwin

Jonathan Jaranson

Kristy Schaffer

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 partners 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 “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; a cash flow statement; a review of investment accounts, including reviewing asset allocation and providing repositioning recommendations; strategic tax planning; a review of retirement accounts and plans including recommendations; a review of insurance policies and recommendations for changes, if necessary; one or more retirement scenarios (cash flow projections); estate planning review and recommendations; 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 \$1,500 - \$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.

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.

Termination of Agreement

A Client may terminate any of the aforementioned agreements at any time by notifying PVP in writing and paying the rate for the time spent on the investment advisory engagement prior to notification of termination. If the client made an advance payment, PVP will refund any unearned portion of the advance payment.

PVP may terminate any of the aforementioned agreements at any time by notifying the client in writing. If the client made an advance payment, PVP will refund any unearned portion of the advance payment.

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. Investment Management Fees are negotiated 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.).

<u>Assets Under Management</u>	<u>Annual Fee</u>
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.

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 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 page 9 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. For example, an expense ratio of 0.20 means that the mutual fund company charges 0.20% for their services. 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 to a very low threshold – most fall well below 0.20%.

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 length of service.

Account Minimums

The minimum account size (investment portfolio) is \$750,000 of assets under management, which equates to an annual fee of \$7,500. 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 may use include Morningstar Principia mutual fund information, Morningstar Principia stock information, Charles Schwab & Company's "SchwabLink" 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. Ours is a more "indexed" approach

designed to achieve global market returns, minimize relative portfolio volatility and maintain efficiency from both a cost and income tax perspective.

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 Irwin and Schaffer are both CPAs and provide tax compliance services to clients. Partner Aylin is a licensed insurance agent in the state of Minnesota. Partner Irwin is also a licensed attorney. From time to time, representatives of PVP may offer clients advice from those services.

Affiliations

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

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 may 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 may advise 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, at no charge to them 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 (i) provide access to client account data (such as trade confirmations and account statements); (ii) facilitate trade execution and allocate aggregated trade orders for multiple client accounts; (iii) provide research, pricing and other market data; (iv) facilitate payment of PVP's fees from its clients' accounts; and (v) 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 unaffiliated SEC-registered broker-dealer and FINRA member. TD Ameritrade offers to independent investment advisors services which include custody of securities, trade execution, 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.

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. Jonathan Jaranson reviews the asset class weightings in all discretionary accounts on an ongoing basis. Changes to investments are driven by several factors including: Client's cash needs, rebalancing (realigning portfolio according to client's current allocation model), new investment opportunities, tax law changes, change(s) in client's life circumstances, and change(s) in 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.

Client Referrals and Other Compensation

Incoming Referrals

PVP has been fortunate to receive many client referrals over the years. The referrals came 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, which mean the custodians provide account statements directly to clients at their address of record at least quarterly.

Performance Reports

Clients are urged to compare the account statements received directly from their custodians to the performance 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 facilitates placing trades in your accounts on your behalf so that we may promptly implement the investment objectives that you have approved. 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. You sign a limited power of attorney so that we may execute the trades that you have approved.

Voting Client Securities

Proxy Votes

PVP does not vote proxies on securities. Clients are expected to vote their own proxies.

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.

Brochure Supplement (Part 2B of Form ADV)

Supervised Persons

Jonathan Jaranson, Tom Irwin, Kristy Schaffer, Robert Aylin

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™

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®

Born: 1972

Educational Background:

- Certified Financial Planner, 11/2007
- St. Olaf College, Bachelor of Arts in Economics, 1994, with concentrations in finance and accounting

Business Experience:

2007 - Present	Partner	PrairieView Partners, 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: None

Additional Compensation: None

Thomas Monte Irwin, JD, CPA, CFP®, PFS

Born: 1958

Educational Background:

- Personal Financial specialist, 6/2003
- Certified Financial Planner, 2/2003
- Certified Public Accountant, 1987
- Stetson University, Bachelor of Business Admin. in Finance, 1981
- University of Minnesota Law School, Juris Doctor, 1985

Business Experience:

2007 - Present	Partner	PrairieView Partners, LLC
1999 - 2007	Director, Tax & Trust	Carlson Capital Management
1987 - 1998	CPA	Wilkerson, Guthmann & Johnson
1985 - 1987	Attorney	Curtin, Mahoney & Cairns

Disciplinary Information: None

Other Business Activities: None

Additional Compensation: None

Kristy Michelle Schaffer, CPA, CFP®, PFS

Born: 1973

Educational Background:

- M.S. in Financial Planning 2006
- Personal Financial Specialist 2003
- Certified Financial Planner 2003
- Certified Public Accountant 2000
- University of Redlands, B.A. in Business Admin/Int'l Relations 1995

Business Background:

2007 - Present	Partner	PrairieView Partners, LLC
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2002 - 2007	Senior Planner	Carlson Capital Management, Inc.
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: None

Additional Compensation: None

Robert Norman Aylin, III

Born: 1966

Educational Background:

- MN Life/Health Insurance License 1997
- ¹Series 7 & Series 66 Securities Licenses 1997
- University of Vermont, B.A. in Psychology & Political Science, 1989
- Colorado State Univ., M.S. in Higher Ed. Administration, 1992

Business Background:

2007 - Present	Partner	PrairieView Partners, LLC
2000 - 2007	Senior Planner	Carlson Capital Mgmt.
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: None

Additional Compensation: None

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. Thomas Irwin oversees Robert Aylin’s work at the firm.

¹ Licenses to sell securities are not currently active