

Prota Financial, LLC

1980 Post Oak Blvd., Suite 100

Houston, TX 77056

(713) 568-8171

www.protafinancial.com

ADV Part B

March 23, 2023

ADV Part 2B Brochure Supplement – Mark Radulovich

Item 1 – Cover Page

Mark Radulovich

CRD #: 6256734

**Prota Financial, LLC
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March 23, 2023**

This Brochure supplement provides information about Mark Radulovich and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement. Additional information about Mark Radulovich, CRD#: 6256734 is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Mark Radulovich

Year of Birth: 1970

Education

Bachelor of Business Administration 1993
Texas A&M, College Station, TX

MBA 1998
Texas A&M, College Station, TX

Designations

CIMA^R 2014
University of Chicago, Booth School, Chicago, IL

Minimum Designation Requirements

Certified Investment Management Analyst (CIMA)

Issuing Organization: Investment Management Consultants Association

Prerequisites/Experience Required: 3 years of financial services experience and a satisfactory record of ethical conduct, as determined by IMCA’s Admissions Committee.

Educational Requirements: Completion of classroom program provided by an IMCA registered education provider.

Examination Type: Qualification Examination and Certification Examination

Continuing Education/Experience Requirements: 40 hours every 2 years

Business History

- May 2016 – Present CCO and Managing Member at Prota Financial, LLC
- January 2014 – May 2016 Financial Advisor at Bank of America, N.A.
- September 2013 – May 2016 Financial Advisor at Merrill Lynch, Pierce, Fenner & Smith Inc.
- January 2013 – September 2013 Project Manager at Apex Systems
- September 2008 – December 2012 Senior Manager at Sapient

Item 3 – Disciplinary History

Neither Prota Financial nor Mark Radulovich has any disciplinary history to disclose.

Item 4 – Other Business Activities

Mark Radulovich is the Co-Founder of Capital 148, LLC, a software company.

Item 5 – Additional Compensation

Mark Radulovich not receive any other compensation.

Item 6 – Supervision

Mark Radulovich is the CCO & Managing Member and performs all supervisory duties for his firm.

Item 7 – Requirements for State-Registered Advisers

Mark Radulovich has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Bryan Christopher Hays

Item 1 – Cover Page

Bryan Christopher Hays

CRD #: 4177665

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This Brochure supplement provides information about Bryan Christopher Hays and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement.

Additional information about Bryan Christopher Hays, CRD#: 4177665 is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Bryan Christopher Hays

Year of Birth: 1969

Education

Bachelor of Arts, Psychology 1996
The University of North Texas, Denton, TX

Business History

January 2018 – Present	Managing Member of Prota Financial, LLC
July 2017 – Present	Investment Adviser Representative at Prota Financial, LLC
October 2010 – July 2017	Senior Financial Advisor & Vice President at Merrill Lynch
September 2009 – October 2010	Financial Advisor at the GMS Group
April 2008 – July 2009	English Second Language Teacher at Gaba

Item 3 – Disciplinary History

Neither Prota Financial nor Bryan Christopher Hays has any disciplinary history to disclose.

Item 4 – Other Business Activities

Bryan Christopher Hays is the Co-Founder of Capital 148, LLC, a software company.

Bryan Christopher Hays is a licensed insurance agent.

Item 5 – Additional Compensation

Bryan Christopher Hays not receive any other compensation.

Item 6 – Supervision

Bryan Christopher Hays is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Bryan Christopher Hays has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Fernando Diaz

Item 1 – Cover Page

Fernando Diaz

CRD #: 4683164

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April 14, 2023**

This Brochure supplement provides information about Fernando Diaz and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement.

Additional information about Fernando Diaz, CRD #: 4683164, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Fernando Diaz

Year of Birth: 1968

Education

Master of Business Administration 1997
University of Miami, Coral Gables, Florida

Bachelor of Science, Health & Human Performance 1994
University of Houston – Clear Lake, Houston, Texas

Business History

August 2017 – Present	Investment Adviser Representative at Prota Financial, LLC
February 2017 – June 2017	Registered Representative at Ameriprise Financial Services, Inc.
May 2013 – February 2017	Private Client Adviser at J.P. Morgan Securities LLC
August 2010 – May 2013	Financial Adviser at Bank of America, NA
June 2010 – May 2013	Financial Adviser at Merrill Lynch, Pierce, Fenner & Smith Incorporated
November 2009 – June 2010	Licensed Banker at Chase Investment Services Corp.
November 2009 – June 2010	Licensed Personal Banker at Chase Bank
June 2009 – October 2009	Mass Transfer at Morgan Stanley Smith Barney LLC
October 2008 – June 2009	Trainee/Financial Adviser at Morgan Stanley & Co. Incorporated

Item 3 – Disciplinary History

Neither Prota Financial nor Fernando Diaz has any disciplinary history to disclose.

Item 4 – Other Business Activities

As noted in Item 10 “Other Financial Industry Activities and Affiliations” above, Fernando Diaz has no outside business activities and/or affiliations to disclose.

Item 5 – Additional Compensation

Fernando Diaz does not receive any other compensation.

Item 6 – Supervision

Fernando Diaz is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Fernando Diaz has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Adam Patten

Item 1 – Cover Page

Adam Patten

CRD #: 7210534

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This Brochure supplement provides information about Adam Patten and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement. Additional information about Adam Patten, CRD #: 7210534, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Adam Lee Patten

Year of Birth: 1981

Education

Master of Business Administration
Liberty University 2020

Bachelor of Science in Geography
United States Military Academy at West Point 2003

Business History

January 2021 – Present	Service Advisor at Prota Financial, LLC
February 2020 – January 2021	Financial Associate at Thrivent Financial
March 2019 – December 2021	Sole Proprietor of Precision Web Design
June 2019 – January 2020	Business Development at Alchemy CRM
September 2017 – March 2019	Estimator at Baytown Ace Industrial
March 2017 – August 2017	Marketing Specialist at Casetta Catering
May 2003 – March 2017	Ops Officer at U.S. Army

Item 3 – Disciplinary History

Neither Prota Financial nor Adam Patten has any disciplinary history to disclose.

Item 4 – Other Business Activities

Adam Patten has no outside business activities and/or affiliations to disclose.

Item 5 – Additional Compensation

Adam Patten does not receive additional compensation.

Item 6 – Supervision

Adam Patten is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Adam Patten has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Lindsey Elliff

Item 1 – Cover Page

Lindsey Elliff

CRD #: 7384605

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This Brochure supplement provides information about Lindsey Elliff and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement.

Additional information about Lindsey Elliff, CRD#: 7384605, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Lindsey Renee Elliff

Year of Birth: 1989

Education

Associate of Arts
Lone Star College

2017

Business History

May 2021 – Present	Service Advisor at Prota Financial, LLC
March 2021 – May 2021	Job Search
December 2020 – March 2021	Billing Administrator at Practice Solutions
October 2020 – December 2020	Sales at UpWeb
January 2016 – October 2020	Billing at Advanced Footcare
December 2013 – December 2015	Lab Assistant at Spring Central Hospital
October 2013 – March 2014	Phlebotomist at Lab Express
April 2013 – October 2013	Phlebotomist at Texas Children Hospital
November 2010 – April 2013	Café Lead at Barnes & Noble Café

Item 3 – Disciplinary History

Neither Prota Financial nor Lindsey Elliff has any disciplinary history to disclose.

Item 4 – Other Business Activities

Lindsey Elliff has no outside business activities to disclose.

Item 5 – Additional Compensation

Lindsey Elliff does not receive additional compensation.

Item 6 – Supervision

Lindsey Elliff is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Lindsey Elliff has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Jason Xu

Item 1 – Cover Page

Qingkun “Jason” Xu

CRD #: 6211325

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This Brochure supplement provides information about Jason Xu and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement. Additional information about Jason Xu CRD#: 6211325, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Qingkun “Jason” Xu

Year of Birth: 1988

Education

BBA, Finance and Financial Management Services
University of Houston

2012

Business History

December 2022 – Present	Service Advisor at Prota Financial, LLC
October 2013 – Present	Owner at Promethean Design & Marketing
January 2021 – November 2022	Licensed Banker at JP Morgan Securities, LLC
January 2019 – November 2022	Relationship Banker at JP Morgan Chase Bank NA
March 2017 – November 2018	Owner at Yama S. Fusion Sushi
July 2013 – December 2013	Registered Representative at MML Investor Services
December 2012 – December 2013	Agent at Mass Mutual Life Insurance Company

Item 3 – Disciplinary History

Neither Prota Financial nor Jason Xu has any disciplinary history to disclose.

Item 4 – Other Business Activities

Jason Xu is the owner of Promethean Design & Marketing.

Item 5 – Additional Compensation

Jason Xu does not receive additional compensation.

Item 6 – Supervision

Jason Xu supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Jason Xu has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Katherine Morrison

Item 1 – Cover Page

Katherine “Katie” Morrison

CRD #: 7661664

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This Brochure supplement provides information about Katherine Morrison and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement. Additional information about Katherine Morrison CRD#: 7661664, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Katherine “Katie” Marie Morrison Year of Birth: 1994

Education

Bachelor of Science in Human Development and Family Sciences
University of Texas 2018

Business History

November 2022 – Present	Service Advisor at Prota Financial, LLC
August 2022 – October 2022	Job Search
August 2021 – August 2022	Teacher at St. Theresa Catholic School
August 2019 – August 2021	Teacher at Spring Branch ISD
January 2019 – June 2019	Substitute Teacher at Humble ISD
June 2018 – January 2019	Sabbatical
January 2016 – June 2018	Student at University of Texas
January 2015 – December 2016	Sabbatical
August 2013 – December 2014	Student at University of Texas

Item 3 – Disciplinary History

Neither Prota Financial nor Katie Morrison has any disciplinary history to disclose.

Item 4 – Other Business Activities

Katie Morrison has no outside business activities to disclose.

Item 5 – Additional Compensation

Katie Morrison does not receive additional compensation.

Item 6 – Supervision

Katie Morrison supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Katie Morrison has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Andrew Taylor

Item 1 – Cover Page

Andrew Reagan Taylor

CRD #: 7602012

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Item 2 – Educational Background and Business Experience

Full Legal Name: Andrew Reagan Taylor

Year of Birth: 1991

Education

Master’s Degree, International Relations and Affairs 2016

Texas A&M University

Bachelor of Arts, Political Science and Government

University of Tulsa 2014

Business History

August 2022 – Present	Service Advisor at Prota Financial, LLC
June 2019 – August 2022	Coach/SmartVestor at Ramsey Solutions
September 2016 – June 2019	Manager Client Solutions at Gerson Lehrman Group
June 2016 – August 2016	Intern at Murphy Nasica and Associates
September 2015 – June 2016	Graduate Assistant at Bush School of Government and Public Service
June 2015 – August 2015	Summer Research Assistant at George C. Marshall Center
August 2014 – May 2016	Graduate Student at Texas A&M University
September 2010 – May 2014	Student at University of Tulsa

Item 3 – Disciplinary History

Neither Prota Financial nor Andrew Taylor has any disciplinary history to disclose.

Item 4 – Other Business Activities

Andrew Taylor has no outside business activities to disclose.

Item 5 – Additional Compensation

Andrew Taylor does not receive additional compensation.

Item 6 – Supervision

Andrew Taylor supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Andrew Taylor has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Mark Jiro

Item 1 – Cover Page

Mark Anthony Llerena Jiro

CRD #: 7534611

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Item 2 – Educational Background and Business Experience

Full Legal Name: Mark Anthony Llerena Jiro

Year of Birth: 1987

Education

No degree earned

University of Houston

Business History

February 2023 – Present Service Advisor at Prota Financial, LLC

August 2021 – February 2023 Project Controls at Management Solutions

March 2021 – July 2021 Job Search

January 2013 – March 2021 Project Controls at Wood

February 2018 – June 2018 Cost Engineer at Parsons Corporation

Item 3 – Disciplinary History

Neither Prota Financial nor Mark Jiro has any disciplinary history to disclose.

Item 4 – Other Business Activities

Mark Jiro has no outside business activities to disclose.

Item 5 – Additional Compensation

Mark Jiro does not receive additional compensation.

Item 6 – Supervision

Mark Jiro is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Mark Jiro has no reportable events to disclose here.

ADV Part 2B Brochure Supplement – Jeffrey Fisher

Item 1 – Cover Page

Jeffrey Fisher

CRD #: 7689849

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This Brochure supplement provides information about Jeffrey Fisher and supplements the Prota Financial, LLC (“Prota Financial”) Brochure. You should have received a copy of that Brochure. Please contact Mark Radulovich if you did not receive the Brochure or if you have any questions about the contents of this supplement. Additional information about Jeffrey Fisher CRD#: 7689849, is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Full Legal Name: Jeffrey Fisher

Year of Birth: 1996

Education

Master of Taxation, Accounting, Finance, Business Fellows 2019
Baylor University – Hankamer School of Business

Business History

January 2023 – Present	Service Advisor at Prota Financial, LLC
December 2020 – January 2023	Associate at PricewaterhouseCoopers
March 2020 – November 2020	Job Search
December 2019 – March 2020	Sales Associate at Waco Tours
May 2015 – December 2019	Student at Baylor University
August 2011 – May 2015	Student at Clear Lake High School

Item 3 – Disciplinary History

Neither Prota Financial nor Jeffrey Fisher has any disciplinary history to disclose.

Item 4 – Other Business Activities

Jeffrey Fisher has no outside business activities to disclose.

Item 5 – Additional Compensation

Jeffrey Fisher does not receive additional compensation.

Item 6 – Supervision

Jeffrey Fisher is supervised by the CCO, Mark Radulovich. Please contact Mark Radulovich at (713) 568-8171 with questions regarding supervision.

Item 7 – Requirements for State-Registered Advisers

Jeffrey Fisher has no reportable events to disclose here.