



## IAPD Report

# Dale Duane Bartlett

CRD# 2625302

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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

### Dale Duane Bartlett (CRD# 2625302)

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 **04/17/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	08/29/2022
<b>IA</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	08/29/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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>IA</b>	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	2881	LEAWOOD, KS	06/01/2020 - 08/17/2022
<b>B</b>	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	LEAWOOD, KS	05/27/2020 - 08/17/2022
<b>IA</b>	ONEAMERICA SECURITIES, INC.	4173	Leawood, KS	12/06/2017 - 05/06/2020

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



## 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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PRINCIPAL SECURITIES, INC.**  
Main Address: 711 HIGH STREET  
DES MOINES, IA 50392  
Firm ID#: 1137

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/29/2022
B	FINRA	General Securities Representative	Approved	08/29/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	08/29/2022
B	Arkansas	Agent	Approved	04/30/2024
B	Colorado	Agent	Approved	04/17/2023
B	Connecticut	Agent	Approved	04/17/2026
B	Florida	Agent	Approved	08/30/2022
B	Illinois	Agent	Approved	09/19/2022
B	Iowa	Agent	Approved	08/29/2022
B	Kansas	Agent	Approved	08/29/2022
IA	Kansas	Investment Adviser Representative	Approved	08/29/2022
B	Massachusetts	Agent	Approved	03/04/2025
B	Missouri	Agent	Approved	08/30/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nebraska	Agent	Approved	08/29/2022
<b>B</b> South Carolina	Agent	Approved	08/31/2022
<b>B</b> South Dakota	Agent	Approved	01/26/2023
<b>B</b> Utah	Agent	Approved	10/23/2025

### Branch Office Locations

**PRINCIPAL SECURITIES, INC.**  
11101 SWITZER RD STE 100  
OVERLAND PARK, KS 66210




## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/09/2006

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/12/2005
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/15/1995

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/25/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/10/1995

### 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
IA	06/01/2020 - 08/17/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	LEAWOOD, KS
B	05/27/2020 - 08/17/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	LEAWOOD, KS
IA	12/06/2017 - 05/06/2020	ONEAMERICA SECURITIES, INC.	CRD# 4173	Leawood, KS
B	12/01/2017 - 05/06/2020	ONEAMERICA SECURITIES, INC.	CRD# 4173	Leawood, KS
B	03/25/2017 - 05/11/2017	MML INVESTORS SERVICES, LLC	CRD# 10409	ST. LOUIS, MO
IA	03/25/2017 - 05/11/2017	MML INVESTORS SERVICES, LLC	CRD# 10409	ST. LOUIS, MO
IA	10/31/2012 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	ST. LOUIS, MO
B	10/30/2012 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	ST. LOUIS, MO
IA	08/07/2002 - 01/02/2015	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	ST. LOUIS, MO
B	07/25/2002 - 01/02/2015	NEW ENGLAND SECURITIES	CRD# 615	ST. LOUIS, MO
B	06/09/1998 - 07/18/2002	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	KANSAS CITY, MO
B	10/22/1996 - 05/28/1998	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	09/25/1995 - 10/10/1996	SECURITY FIRST FINANCIAL, INC.	CRD# 6695	
B	06/16/1995 - 10/10/1996	SECURITY FIRST FINANCIAL, INC.	CRD# 6695	NEWPORT BEACH, CA

### 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
08/2022 - Present	Principal Life Insurance Company	Agent	Y	Overland Park, KS, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2022 - Present	Principal Securities Inc	Registered Representative	Y	Overland Park, KS, United States
04/2017 - 08/2022	Northwestern Mutual Life Insurance Company	Agent	Y	Milwaukee, WI, United States
04/2017 - 08/2022	Veritas Praesidium	Self Employed	Y	Leawood, KS, United States
07/2002 - 08/2022	NEF/Met/Mass Mutual	Managing partner	Y	OverlandPark, KS, 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.

**\*\*CUTWATER ADVISORY**

POSITION: Consultant NATURE: Consulting INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2025  
 ADDRESS: 9004 W 148th Street, Overland Park KS 66221, United States  
 DESCRIPTION: Subject Matter Expert in assisting Cutwater Advisory on the buy-side and sell-side of Wealth Management Practices.

**\*\*AN ADVISOR'S LEGACY**

POSITION: Author NATURE: Author INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2025  
 ADDRESS: 9004 W 148th Street, Overland Park KS 66221, United States  
 DESCRIPTION: Co-author a book on Advisor succession planning.



## 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

### 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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Missouri Department of Commerce & Insurance
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	03/19/2021
<b>Docket/Case Number:</b>	20210322142014866
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Northwestern Mutual Investment Services, LLC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	The Missouri Department of Commerce & Insurance suspended the Representative's insurance license for failure to file a tax return and/or to pay taxes due.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Suspension ended 3/25/2021
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	03/25/2021
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	



**Sanction Type:** Suspension  
**Capacities Affected:** No registration capacities affected.  
**Duration:** March 9,2021 to March 25,2021  
**Start Date:**  
**End Date:**

**Broker Statement** The Representative asserts that the Missouri Department of Revenue ("DOR") made an error in reporting to the Missouri Department of Commerce and Insurance ("DOC"), that the Representative had not paid his 2018 taxes. The Representative immediately provided the DOR confirmation of his 2019 online payment of his 2018 taxes and the DOR issued a Certification of Tax Compliance on March 23, 2021. The Representative provided the Certification of Tax Compliance to the MO DOC which lifted the license suspension on March 25, 2021.



## End of Report

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