



IAPD Report

James Edward Schwalbe Jr

CRD# 2741086

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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

James Edward Schwalbe Jr (CRD# 2741086)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	04/16/2025
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	04/16/2025

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	EAGLE STRATEGIES LLC	110826	DALLAS, TX	05/08/2019 - 04/21/2025
B	NYLIFE SECURITIES LLC	5167	DALLAS, TX	04/09/2019 - 04/21/2025
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	IRVING, TX	07/27/2017 - 03/18/2019

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

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/16/2025
B	Florida	Agent	Approved	04/17/2025
B	Texas	Agent	Approved	04/16/2025
IA	Texas	Investment Adviser Representative	Approved	04/16/2025

Branch Office Locations

PRINCIPAL SECURITIES, INC.
5080 SPECTRUM DR
STE 1200E
ADDISON, TX 75001



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/17/2016

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/13/1996

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	08/09/2013
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1997

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	05/08/2019 - 04/21/2025	EAGLE STRATEGIES LLC	CRD# 110826	DALLAS, TX
B	04/09/2019 - 04/21/2025	NYLIFE SECURITIES LLC	CRD# 5167	DALLAS, TX
IA	07/27/2017 - 03/18/2019	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	IRVING, TX
B	06/16/2017 - 03/18/2019	PRUCO SECURITIES, LLC.	CRD# 5685	IRVING, TX
B	04/26/2016 - 06/05/2017	SHARE FINANCIAL SERVICES, INC.	CRD# 11226	ADDISON, TX
B	10/16/2014 - 02/16/2015	ESPOSITO SECURITIES, LLC	CRD# 143710	DALLAS, TX
B	12/03/2013 - 09/24/2014	COMERICA SECURITIES	CRD# 17079	DALLAS, TX
IA	12/03/2013 - 09/24/2014	COMERICA SECURITIES	CRD# 17079	DALLAS, TX
IA	08/09/2013 - 11/27/2013	EDWARD JONES	CRD# 250	PLANO, TX
B	07/22/2013 - 11/27/2013	EDWARD JONES	CRD# 250	PLANO, TX
B	06/22/2011 - 06/12/2013	STERNE, AGEE & LEACH, INC.	CRD# 791	DALLAS, TX
B	07/05/2006 - 06/06/2011	BARCLAYS CAPITAL INC.	CRD# 19714	CHICAGO, IL
B	01/22/2001 - 06/30/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	10/01/1996 - 01/04/2001	GOLDMAN, SACHS & CO.	CRD# 361	NEW YORK, NY
B	05/14/1996 - 10/01/1996	GOLDMAN SACHS MONEY MARKETS, L.P.	CRD# 28613	



Registration & Employment History

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
04/2025 - Present	Principal Life Insurance Company	Agent	Y	Addison, TX, United States
04/2025 - Present	Principal Securities, Inc.	Registered Representative	Y	Addison, TX, United States
04/2019 - 04/2025	Nylife Securities LLC	Registered Rep	Y	Frisco, TX, United States
03/2019 - 04/2025	New York Life Insurance Company	Agent	Y	Frisco, TX, United States
06/2017 - 03/2019	The Prudential Insurance Company of America	Manager, Financial Services	N	IRVING, TX, United States
06/2017 - 03/2018	Pruco Securities, LLC	Registered Principal	Y	IRVING, TX, United States
02/2017 - 06/2017	Share Financial Services, Inc.	Managing Director - Institutional Sales	Y	Dallas, TX, United States
04/2016 - 02/2017	Share Financial Service, Inc.	Business Development Consultant	Y	Dallas, TX, 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.

**INSURANCE

POSITION: Agent NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 48 SECURITIES TRADING HOURS: 48 START DATE: 07/19/2017

ADDRESS: 5080 Spectrum Drive, Suite 1200E, Addison TX 75001, United States

DESCRIPTION: Sales and service of outside fixed insurance, including life, annuities, DI, LTC, health and group insurance.

**P&C INSURANCE

POSITION: P&C Insurance NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 07/16/2025

ADDRESS: 5080 Spectrum Drive, Suite 1200E, Addison TX 75001, United States

DESCRIPTION: Facilitating and entering a revenue sharing agreement with P&C brokers to provide guidance and expertise to my clients. Home, auto, specialty commercial, excess liability, flood...all types of P&C insurance, as needed by my 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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$42,915.62
Judgment/Lien Type:	Tax
Date Filed with Court:	10/15/2018
Date Individual Learned:	01/15/2020
Type of Court:	County Clerk
Name of Court:	Dallas County Clerk
Location of Court:	Dallas, TX
Docket/Case #:	201800274865
Judgment/Lien Outstanding?	Yes
Broker Statement	Tax years 2013-2014



End of Report

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