User Guidance

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IAPD Report

TONYA LYNN MATHISON

CRD# 2747110

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

TONYA LYNN MATHISON (CRD# 2747110)

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 **07/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	06/11/2012
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	06/14/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	LAFAYETTE, CA	02/03/2012 - 04/03/2012
B	PARK AVENUE SECURITIES LLC	46173	SAN RAMON, CA	07/20/2011 - 01/05/2012
B	ALLSTATE FINANCIAL SERVICES, LLC	18272	CASTRO VALLEY, CA	11/26/2008 - 07/13/2011

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
Customer Dispute	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 **1** 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	06/11/2012
B	FINRA	General Securities Principal	Approved	02/10/2016
B	FINRA	Municipal Fund	Approved	08/06/2016
B	FINRA	Municipal Securities Representative	Approved	02/24/2025
B	FINRA	Municipal Securities Principal	Approved	06/03/2025
B	Nebraska	Agent	Approved	04/05/2016
IA	Nebraska	Investment Adviser Representative	Approved	01/25/2024

Branch Office Locations

PRINCIPAL SECURITIES, INC.
PLATTSMOUTH, NE

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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/03/2025
B	Municipal Fund Securities Principal Examination (S51)	Series 51	08/06/2016
B	General Securities Principal Examination (S24)	Series 24	02/10/2016

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	02/24/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/29/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/10/1996

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/05/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/04/2000

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
B	02/03/2012 - 04/03/2012	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	LAFAYETTE, CA
B	07/20/2011 - 01/05/2012	PARK AVENUE SECURITIES LLC	CRD# 46173	SAN RAMON, CA
B	11/26/2008 - 07/13/2011	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	CASTRO VALLEY, CA
IA	05/05/2008 - 12/18/2008	STRATEGIC WEALTH ADVISORS GROUP	CRD# 140977	SAN RAMON, CA
B	04/28/2008 - 11/28/2008	FSC SECURITIES CORPORATION	CRD# 7461	SAN RAMON, CA
IA	04/28/2008 - 11/28/2008	FSC SECURITIES CORPORATION	CRD# 7461	SAN RAMON, CA
IA	01/02/2008 - 04/24/2008	GOLDSTEIN MUNGER + ASSOCIATES	CRD# 109620	SAN RAMON, CA
IA	03/18/2002 - 10/24/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	WALNUT CREEK, CA
B	02/08/2002 - 10/24/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	WALNUT CREEK, CA
B	10/02/2000 - 06/04/2002	FINANCIAL TELESIS INC	CRD# 31012	SAN RAFAEL, CA
B	07/16/1996 - 06/04/1998	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	07/16/1996 - 06/04/1998	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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
03/2016 - Present	PRINCIPAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PLATTSMOUTH, NE, United States
06/2012 - Present	PRINCIPAL LIFE INSURANCE COMPANY	Director of Supervision	Y	PLATTSMOUTH, NE, 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.

BEAVER LAKE ASSOCIATION
POSITION: Election Committee Member NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/31/2025
ADDRESS: 2507 Ponca Point, Plattsmouth NE 68048, United States
DESCRIPTION: I am newly appointed to work on the Election Committee for the Beaver Lake Association board. This is the homeowners association where I live.

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
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC.
Allegations:	COMPLAINANT ALLEGES SHE WAS SOLD AN UNSUITABLE PRODUCT WHEN SHE PURCHASED A VARIABLE UNIVERSAL LIFE POLICY IN JANUARY 2005.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT ALLEGED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/15/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2010
Settlement Amount:	

Individual Contribution Amount:

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC
Allegations:	COMPLAINTANT ALLEGES SHE WAS SOLD AN UNSUITABLE PRODUCT WHEN SHE PURCHASED A VARIABLE UNIVERSAL LIFE POLICY IN JANUARY 2005.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT ALLEGED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/12/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	WHEN I MET WITH THIS CLIENT IN 2004 SHE HAD MANY FINANCIAL ISSUES AND CONCERNS THAT NEEDED RESOLUTION. HER TOP PRIORITY WAS HER COMPANY'S 401K AND HER RETIREMENT PLAN. AS PART OF THE ON BOARDING PROCESS WITH EACH OF MY CLIENTS, I REVIEW ALL ASPECTS OF THEIR FINANCIAL'S; ASSET PROTECTION IS A VERY IMPORTANT STEP. ONE OF THE ISSUES I REVIEWED FOR HER WAS HER ESTATE PLAN SITUATION. SHE HAD A CURRENT ESTATE PLAN, WITH A REVOCABLE LIVING TRUST AS WELL AS AN IRREVOCABLE LIFE INSURANCE TRUST THAT OWNED A LIFE INSURANCE POLICY ON HER LIFE. SHE WAS ADMINISTERING THE PREMIUM PAYMENTS AND THE REQURIED LETTER IN ORDER TO KEEP THE ILIT UP TO THE LETTER OF THE LAW. THE POLICY THAT WAS INSIDE THE ILIT WAS A VUL POLICY. BECAUSE OF THE INVESTMENT PERFORMANCE INSIDE OF THE POLICY, THE ILIT EITHER NEEDED TO INCREASE THE PREMIUM TO KEEP THE POLICY IN FORCE OR THERE WOULD NO LONGER BE ANY INSURANCE IN FORCE. THE VUL WAS UNDERFUNDED. MY RECOMMENDATION WAS TO MOVE THE POLICY TO A MASSMUTUAL VUL THAT HAD A GUARANTEED DEATH BENEFIT. AS LONG AS SHE PAID A PARTICULAR PREMIUM, THE POLICY WOULD BE GUARANTEED TO STAY IN FORCE. I RECALL THAT SHE IS A RELATIVELY CONSERVATIVE INVESTOR, AND SHE LIKED THE IDEA OF A GUARANTEED

DEATH BENEFIT AND A DEATH BENEFIT THAT HAD NO BEARING ON THE INVESTMENTS INSIDE OF THE POLICY. THIS WAS THE BEST PRODUCT AVAILIABLE AT THAT TIME. MY RECOMMENDATION WAS TO PUT HER IN A BETTER LIFE INSURANCE POSITION AND REDUCE THE PREMIUM PAID IN TO THE POLICY AT THE SAME TIME. I LEFT MASSMUTUAL IN 2007, AND WAS UNABLE TO TAKE THIS CLIENT FILE WITH ME. THE ENTIRE CASE WAS THEN TURNED OVER TO ANOTHER ADVISOR AT MASSMUTUAL. BEFORE I LEFT MASSMUTUAL I MADE CONTACT WITH THIS CLIENT AND THERE WERE NO ISSUES AT THAT TIME.

End of Report

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