



IAPD Report

DAX JAMES WELSHEIMER

CRD# 2767268

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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

DAX JAMES WELSHEIMER (CRD# 2767268)

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 **01/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	11/03/2023
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	11/20/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	INVEST FINANCIAL CORPORATION	12984	WORTHINGTON, OH	04/24/2009 - 04/05/2011
B	INVEST FINANCIAL CORPORATION	12984	WORTHINGTON, OH	04/17/2009 - 04/05/2011
IA	FSC SECURITIES CORPORATION	7461	FT. PIERCE, FL	10/18/2005 - 04/21/2009

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 3 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	11/03/2023
B Indiana	Agent	Approved	12/05/2023
B Kansas	Agent	Approved	01/22/2026
B Ohio	Agent	Approved	11/20/2023
IA Ohio	Investment Adviser Representative	Approved	11/20/2023

Branch Office Locations

PRINCIPAL SECURITIES, INC.
5600 Blazer Pkwy Ste 300
Dublin, OH 43017

PRINCIPAL SECURITIES, INC.
Columbus, OH



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/01/2008

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	11/03/2023
Securities Industry Essentials Examination (SIE)	SIE	09/25/2023
General Securities Representative Examination (S7)	Series 7	02/16/2004
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/09/1996

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	11/18/2023
Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	04/24/2009 - 04/05/2011	INVEST FINANCIAL CORPORATION	CRD# 12984	WORTHINGTON, OH
B	04/17/2009 - 04/05/2011	INVEST FINANCIAL CORPORATION	CRD# 12984	WORTHINGTON, OH
IA	10/18/2005 - 04/21/2009	FSC SECURITIES CORPORATION	CRD# 7461	FT. PIERCE, FL
B	10/17/2005 - 04/21/2009	FSC SECURITIES CORPORATION	CRD# 7461	FT. PIERCE, FL
IA	05/25/2005 - 10/07/2005	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	COLUMBUS, OH
B	05/24/2005 - 10/07/2005	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	KANSAS CITY, MO
IA	06/17/2003 - 05/19/2005	VALMARK ADVISERS, INC.	CRD# 108050	COLUMBUS, OH
B	05/23/2003 - 05/19/2005	VALMARK SECURITIES, INC.	CRD# 31243	AKRON, OH
IA	01/30/2003 - 06/02/2003	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	COLUMBUS, OH
B	10/10/1996 - 06/02/2003	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA

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
10/2023 - Present	Principal Life Insurance Co	Agent	Y	INDEPENDENCE, OH, United States
10/2023 - Present	Principal Securities, Inc	Registered Rep	Y	INDEPENDENCE, OH, United States
07/2018 - Present	Rock City Church	Care Pastor	N	Hilliard, OH, United States
07/2016 - 07/2018	104.9 the River Radio Station	Pastor	N	Gahanna, OH, United States
01/2011 - 07/2016	Epic Church	Pastor	N	Gahanna, OH, 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.

ROCK CITY CHURCH

POSITION: Care Pastor NATURE: Care Pastor at a Church INVESTMENT RELATED: No NUMBER OF HOURS: 160

SECURITIES TRADING HOURS: 80 START DATE: 07/16/2018

ADDRESS: 4311 Anson Drive, Hilliard OH 43026, United States

DESCRIPTION: Oversee prayer requests, hospital and home visits, weddings, funerals, and other care requests for the church. We also have a financial care team that helps those who request assistance sit down and make a budget. I personally do not participate in this. I also have discussions and help those requesting financial assistance for evictions from their homes and/or having their utilities disconnected. Any assistance provided by the church is paid directly to vendors and I have no say in budgets at Rock City.

FIXED INSURANCE

POSITION: Financial Representative NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES

TRADING HOURS: 100 START DATE: 01/01/2024

ADDRESS: 5600 Blazer Parkway Suite 300, Dublin OH 43017, United States

DESCRIPTION: Sales and service of fixed life, fixed annuities, DI, LTC, Health and group benefits.



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

Reporting Source:	Individual
Regulatory Action Initiated By:	OHIO DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Revocation
Date Initiated:	06/01/2001
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	PRINCIPAL FINANCIAL GROUP
Product Type:	Insurance
Allegations:	UPON NOTIFICATION OF MY OHIO LIFE, ACCIDENT & HEALTH AND VARIABLE ANNUITY INSURANCE LICENSE BEING REVOKED DUE TO LACK OF CE CREDITS, I REPEATED THE 40 HOURS OF CLASSROOM TIME REQUIRED BY OHIO AND REPEATED THE OHIO INSURANCE EXAM. I HAD MY OHIO LIFE, ACCIDNET & HEALTH AND VARIABLE ANNUITY LICENSE REINSTATED.
Current Status:	Final
Resolution:	Was short CE's and had to take class.
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	06/21/2001



Sanctions Ordered:

Revocation

Other: Had to retake CE's to get reinstated.

Broker Statement

UPON NOTIFICATION OF OHIO LIFE, ACCIDENT & HEALTH AND VARIABLE ANNUITY INSURANCE LICENSE BEING REVOKED DUE TO LACK OF CE CREDITS, I REPEATED THE 40 HOURS OF CLASSROOM TIME REQUIRED BY THE OHIO INSURANCE DEPARTMENT AND REPEATED THE OHIO LIFE, ACCIDENT & HEALTH AND VARIABLE ANNUITY INSURANCE EXAM. I REQUALIFIED AND HAD MY OHIO LICENSE REINSTATED ON JUNE 20,2001.



End of Report

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