



IAPD Report

James Nicklaus Eschenheimer

CRD# 2772112

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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 Nicklaus Eschenheimer (CRD# 2772112)

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 **06/10/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **0** 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	PRINCIPAL SECURITIES, INC.	1137	ADDISON, TX	08/30/2016 - 07/13/2022
IA	BOK FINANCIAL ADVISORS	17530	TULSA, OK	06/09/2014 - 08/25/2016
IA	WUNDERLICH SECURITIES, INC.	2543	TULSA, OK	12/14/2012 - 06/10/2014

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?

No



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 **0** jurisdiction(s) and 0 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ASCENSUS BROKER DEALER SERVICES, LLC**
Main Address: 95 WELLS AVENUE
SUITE 160
NEWTON, MA 02459
Firm ID#: 36478

Branch Office Locations

UPROMISE INVESTMENTS, INC.
TULSA, OK



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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

10/04/1996



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	08/30/2016 - 07/13/2022	PRINCIPAL SECURITIES, INC.	CRD# 1137	ADDISON, TX
IA	06/09/2014 - 08/25/2016	BOK FINANCIAL ADVISORS	CRD# 17530	TULSA, OK
IA	12/14/2012 - 06/10/2014	WUNDERLICH SECURITIES, INC.	CRD# 2543	TULSA, OK
IA	03/10/2009 - 12/17/2012	SANDERS MORRIS HARRIS INC.	CRD# 20580	TULSA, OK
IA	02/13/2001 - 03/26/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	TULSA, OK

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
07/2022 - Present	Ascensus	Regional Vice President	Y	Dresher, PA, United States
08/2016 - 07/2022	PRINCIPAL LIFE INSURANCE COMPANY	SALES REP	Y	Addison, TX, United States
08/2016 - 07/2022	PRINCIPAL SECURITIES INC	REG REP	Y	Addison, TX, United States
06/2014 - 08/2016	BOKF, NA	INVESTMENT CENTER SALES MANAGER	Y	TULSA, OK, United States
06/2014 - 08/2016	BOSC, INC.	INVESTMENT CENTER SALES MANAGER	Y	TULSA, OK, 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.

Registrant is engaged as a Trustee for the Spirit of Youth, a non-profit charitable organization. In this position, registrant helps manage cycling races to raise funds donated to the Special Olympics Oklahoma. The Spirit of Youth is located at 2967 E 57th Street, Tulsa, OK 74105. Registrant works approximately 1 hour per month in this non-investment related position. The hours associated with this activity do not conflict with Ascensus business hours.



End of Report

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