



IAPD Report

DANIEL ROY JOHN BUEHRLE

CRD# 4580417

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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

DANIEL ROY JOHN BUEHRLE (CRD# 4580417)

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 **07/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	12/11/2002
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	08/29/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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
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No information reported.

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 **51** 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	Invest. Co and Variable Contracts	Approved	12/11/2002
B	FINRA	General Securities Representative	Approved	01/01/2011
B	FINRA	General Securities Principal	Approved	03/05/2012
B	Alabama	Agent	Approved	08/25/2020
B	Alaska	Agent	Approved	08/25/2020
B	Arizona	Agent	Approved	11/15/2006
B	Arkansas	Agent	Approved	08/25/2020
B	California	Agent	Approved	08/25/2020
B	Colorado	Agent	Approved	01/03/2012
B	Connecticut	Agent	Approved	08/25/2020
B	Delaware	Agent	Approved	08/25/2020
B	District of Columbia	Agent	Approved	08/25/2020
B	Florida	Agent	Approved	06/13/2017



Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	01/25/2017
B	Hawaii	Agent	Approved	08/25/2020
B	Idaho	Agent	Approved	08/25/2020
B	Illinois	Agent	Approved	03/16/2004
B	Indiana	Agent	Approved	01/03/2012
B	Iowa	Agent	Approved	08/25/2020
B	Kansas	Agent	Approved	01/02/2015
B	Kentucky	Agent	Approved	08/25/2020
B	Louisiana	Agent	Approved	08/25/2020
B	Maine	Agent	Approved	08/25/2020
B	Maryland	Agent	Approved	08/25/2020
B	Massachusetts	Agent	Approved	09/29/2020
B	Michigan	Agent	Approved	12/18/2003
B	Minnesota	Agent	Approved	11/20/2015
B	Mississippi	Agent	Approved	01/12/2022
B	Missouri	Agent	Approved	11/25/2008
B	Montana	Agent	Approved	01/12/2022
B	Nebraska	Agent	Approved	08/25/2020
B	Nevada	Agent	Approved	11/25/2008



Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	01/07/2022
B	New Jersey	Agent	Approved	01/02/2018
B	New Mexico	Agent	Approved	01/12/2022
B	New York	Agent	Approved	06/27/2013
B	North Carolina	Agent	Approved	08/25/2020
B	North Dakota	Agent	Approved	08/25/2020
B	Ohio	Agent	Approved	07/28/2017
B	Oklahoma	Agent	Approved	08/25/2020
B	Oregon	Agent	Approved	10/16/2015
B	Pennsylvania	Agent	Approved	08/25/2020
B	Rhode Island	Agent	Approved	01/12/2022
B	South Carolina	Agent	Approved	12/12/2017
B	South Dakota	Agent	Approved	10/04/2023
B	Tennessee	Agent	Approved	01/06/2006
B	Texas	Agent	Approved	01/02/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	06/17/2021
B	Utah	Agent	Approved	01/12/2022
B	Vermont	Agent	Approved	11/06/2019



Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	08/25/2020
B	Washington	Agent	Approved	01/12/2022
B	West Virginia	Agent	Approved	10/04/2023
B	Wisconsin	Agent	Approved	03/19/2003
IA	Wisconsin	Investment Adviser Representative	Approved	08/29/2012
B	Wyoming	Agent	Approved	01/12/2022

Branch Office Locations

PRINCIPAL SECURITIES, INC.
10361 W INNOVATION DR
STE 300
WAUWATOSA, WI 53226



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
B	General Securities Principal Examination (S24)	Series 24	03/02/2012

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/29/2010
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/27/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/27/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/27/2002



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:

No information reported.

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	REGISTERED REPRESENTATIVE	Y	WAUWATOSA, WI, United States
08/2002 - Present	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	N	MENOMONEE FALLS, WI, 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.

****OUTSIDE INSURANCE.** 01/16/20143 P&C INSURANCE AND MEDICARE SUPPLEMENT INSURANCE.

****BAD PARTNERS, LLC,** ONE OF THREE MANAGING MEMBERS OF THE LLC. BAD PARTNERS, LLC IS REPLACING BRIDGE VEBA WHICH WAS THE MARKETING ENTITY USED TO SELL ONE VEBA PLAN. NO MARKETING FOR SALES OF FUTURE VEBA PLANS IS OCCURRING, 11/21/14.

****Childrens Hospital of Wisconsin Foundation;** board member; 12/15/15.

****Fixed Insurance;** Investment Related; Wauwatosa, WI; Agent; Sell Fixed life, Accident and Health, DI; Start Date: 07/15/2019; 40 hrs per month; 40 during trading hours.

****THE PHOENIX BUSINESS COLLECTIVE**

POSITION: CEO NATURE: Supplier and Fulfillment audit INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 50 START DATE: 05/02/2025

ADDRESS: N83W31141 Kilbourne Rd., Hartland WI 53029, United States

DESCRIPTION: The Phoenix Business Collective is a company that assists its members by leveraging their collective buying power to create efficiencies, increase value and identify exclusive opportunities and strategic advantages. Members of the collective, by working together, are able to create efficiencies, negotiate better terms and deliver access to premium services and resources to drive business growth.

****INSURANCE**

POSITION: Fixed Insurance NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 11/06/2025

ADDRESS: 10361 Innovation Dr., Wauwatosa WI 53029, United States

DESCRIPTION: Selling Group Benefits and LTC through various vendors.

****YPO INC.**

POSITION: Mid-Americas YPO network chair NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 11/06/2025

ADDRESS: N83W31141 Kilbourne Rd., Hartland WI 53029, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Various roles to help the region grow membership and understanding for the YPO members in the region.

****FIREBORN ADVISORY PARTNERS, LLC**

POSITION: Owner NATURE: Insurance, P&C, Advisor products, Health, Securities, Group, DI, 401k, NQ INVESTMENT

RELATED: Yes NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 120 START DATE: 06/11/2026

ADDRESS: N83W31141 Kilbourne Rd, Hartland WI 53029, United States

DESCRIPTION: Current ownership is not set yet, but it is intended to be each of the reps that are listed above. we will form as an LLC, and at the point of approve we can provide cap table information.

****FIREBORN SHARED SERVICES, LLC**

POSITION: Fireborn Shared Services, LLC NATURE: Shared services company for ease of payroll of staff INVESTMENT

RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 06/11/2026

ADDRESS: N83W31141 Kilbourne Rd, Hartland WI 53029, United States

DESCRIPTION: Shared services for ease of employment for staff. Accounting and HR for Fireborn Advisory Partners

****ENTREPRENEURSHIP ORGANIZATION**

POSITION: EO Board member NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No

NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 3 START DATE: 06/11/2026

ADDRESS: N83W31141 Kilbourne Rd, Hartland WI 53029, United States

DESCRIPTION: Strategic guidance, and membership experience assistance.



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:	Individual
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORPORATION
Allegations:	CLIENT STATED THE USE OF THE VARIALBE ANNUITY WAS UNSUITABLE.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-03430
Filing date of arbitration/CFTC reparation or civil litigation:	11/15/2013

Customer Complaint Information

Date Complaint Received:	02/05/2014
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Complaint Pending?	No
Status:	Settled
Status Date:	10/14/2014
Settlement Amount:	\$13,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	CLIENT DIVERFIED FROM STATED RETIREMENT INCOME NEEDS AND STARTED TO WITHDRAWAL 2 TIMES AMOUNT STATED. THIS CAUSED CLIENT TO RUN OUT OF MONEY.



End of Report

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