



IAPD Report

EDWARD H PRINCE

CRD# 4647442

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

EDWARD H PRINCE (CRD# 4647442)

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 **12/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	12/05/2025
IA	BFC PLANNING, INC.	CRD# 119682	12/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	MOLONEY SECURITIES CO., INC.	38535	KANSAS CITY, MO	03/27/2018 - 12/05/2025
IA	MOLONEY SECURITIES ASSET MANAGEMENT LLC	282448	Kansas City, MO	12/20/2016 - 12/05/2025
IA	ECKMAN WEALTH MANAGEMENT, LLC	159934	WESTWOOD, KS	03/31/2015 - 09/15/2016

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
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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**

Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402

Firm ID#: 13609

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/05/2025
B	California	Agent	Approved	12/05/2025
B	Colorado	Agent	Approved	12/05/2025
B	Florida	Agent	Approved	12/08/2025
B	Iowa	Agent	Approved	12/05/2025
B	Kansas	Agent	Approved	12/05/2025
B	Mississippi	Agent	Approved	12/05/2025
B	Missouri	Agent	Approved	12/05/2025
B	Nevada	Agent	Approved	12/05/2025
B	Oregon	Agent	Approved	12/05/2025
B	Texas	Agent	Approved	12/05/2025

Branch Office Locations

BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Livestock Exchange Building



Qualifications

1600 Genessee Street - Suite 814
KANSAS CITY, MO 64102

Employment 2 of 2

Firm Name: **BFC PLANNING, INC.**
Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402
Firm ID#: 119682

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	12/05/2025
IA	Missouri	Investment Adviser Representative	Approved	12/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	12/05/2025

Branch Office Locations

BFC PLANNING, INC.
4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

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	03/27/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/19/2003

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/13/2018
IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/31/2015



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
B	03/27/2018 - 12/05/2025	MOLONEY SECURITIES CO., INC.	CRD# 38535	KANSAS CITY, MO
IA	12/20/2016 - 12/05/2025	MOLONEY SECURITIES ASSET MANAGEMENT LLC	CRD# 282448	Kansas City, MO
IA	03/31/2015 - 09/15/2016	ECKMAN WEALTH MANAGEMENT, LLC	CRD# 159934	WESTWOOD, KS
B	01/22/2013 - 03/07/2014	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	OLATHE, KS
B	05/11/2010 - 12/31/2012	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	OVERLAND PARK, KS
B	03/26/2007 - 05/13/2010	AXA ADVISORS, LLC	CRD# 6627	OVERLAND PARK, KS
B	05/21/2003 - 03/23/2007	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	OVERLAND PARK, KS

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
12/2025 - Present	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	Mass Transfer	Y	KANSAS CITY, MO, United States
12/2025 - Present	BFC PLANNING, INC.	Mass Transfer	Y	CEDAR RAPIDS, IA, United States
12/2016 - Present	Moloney Securities Co., Inc.	Registered Representative	Y	Manchester, MO, United States
11/2015 - Present	Royal Route Company, LLC	CEO	N	OVERLAND PARK, KS, 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.

I AM THE MAJORITY OWNER OF ROYAL ROUTE COMPANY, LLC WHICH IS THE SELLING AND SERVICING OF FIXED INSURANCE PRODUCTS SUCH AS TERM LIFE INSURANCE, DISABILITY INSURANCE, LONG TERM CARE INSURANCE,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CRITICAL ILLNESS INSURANCE AND EXECUTIVE COMPENSATION BENEFITS THROUGH VARIOUS CARRIERS. APPROXIMATELY 40 HOURS PER MONTH ARE SPENT ON THIS CURRENTLY.

Transitioning to D/B/A - Royal Route Advisory Group, LLC. 11936 West 119th Street PMB 222. Financial services. Securities offered through Moloney Securities Co., Inc. Investment related. Conducted through all trading hours once established.



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
Customer Dispute	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:	Regulator
Regulatory Action Initiated By:	Missouri
Sanction(s) Sought:	Monetary Penalty other than Fines Prohibition
Date Initiated:	12/16/2015
Docket/Case Number:	AP-15-33
URL for Regulatory Action:	https://www.sos.mo.gov/CMSImages/Securities/orders/AP-15-33.pdf
Employing firm when activity occurred which led to the regulatory action:	Eckman Wealth Management, LLC.
Product Type:	No Product
Allegations:	Respondent Prince transacted business in Missouri as an unregistered investment adviser representative for more than five clients on behalf of Eckman Wealth Management, LLC since May 13, 2014; and Prince failed to report on his application a Kansas State tax lien.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/16/2015
Sanctions Ordered:	Monetary Penalty other than Fines Prohibition Other: Prince is prohibited from acting as an unregistered investment advisor representative; a fine of \$5,000 is suspended provided Prince complies with the terms of this Consent Order.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	These payments shall be suspended provided Respondent complies with the terms of this Consent Order for a period of two years.
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source:	Firm
Regulatory Action Initiated By:	Missouri
Sanction(s) Sought:	Monetary Penalty other than Fines Prohibition
Date Initiated:	12/16/2015
Docket/Case Number:	AP-15-33
Employing firm when activity occurred which led to the regulatory action:	Eckman Wealth Management, LLC
Product Type:	No Product
Allegations:	Respondent Prince transacted business in Missouri as an unregistered investment adviser representative for more than five clients on behalf of Eckman Wealth Management, LLC since May 13, 2014; and Prince failed to report on his application a Kansas State tax lien.
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/16/2015



Sanctions Ordered:

Monetary Penalty other than Fines
Prohibition

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: These payments shall be suspended provided Respondent complies with the terms of the Consent Order for a period of two years

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? Yes

Amount Waived: \$5,000.00

.....

Reporting Source: Individual

Regulatory Action Initiated By: Missouri

Sanction(s) Sought: Monetary Penalty other than Fines
Prohibition

Date Initiated: 12/16/2015

Docket/Case Number: AP-15-33

Employing firm when activity occurred which led to the regulatory action: Eckman Wealth Management, LLC

Product Type: No Product

Allegations: Respondent Prince transacted business in Missouri as an unregistered investment adviser representative for more than five clients on behalf of Eckman Wealth Management, LLC since May 13, 2014; and Prince failed to report on his application a Kansas State tax lien.

Current Status: Final



Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/16/2015
Sanctions Ordered:	Monetary Penalty other than Fines Prohibition Other: Prince is prohibited from acting as an unregistered investment advisor representative; a fine of \$5,000 is suspended provided Prince complies with the terms of this Consent Order.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	These payments shall be suspended provided Respondent complies with the terms of this Consent Order for a period of two years.
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	MOLONEY SECURITIES CO., INC.
Allegations:	Suitability/negligence. 2021
Product Type:	Debt-Corporate
Alleged Damages:	\$140,000.00
Alleged Damages Amount Explanation (if amount not exact):	No specific compensatory damage amount disclosed

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-00530
Date Notice/Process Served:	03/22/2024
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/04/2025
Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The broker dealer settled the matter for business purposes without admitting any wrongdoing or liability. I still refute the allegations of the claims.



End of Report

This page is intentionally left blank.