



IAPD Report

JOHN WILLIAM NOEY

CRD# 4676895

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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

JOHN WILLIAM NOEY (CRD# 4676895)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	01/26/2012
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	03/03/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	EL PASO, TX	01/31/2005 - 01/25/2012
IA	SECURIAN FINANCIAL SERVICES, INC.	15296	EL PASO, TX	01/31/2005 - 01/25/2012

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
Criminal	1
Customer Dispute	2



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 **14** 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	01/26/2012
B Alabama	Agent	Approved	07/23/2019
B Arizona	Agent	Approved	01/21/2020
B California	Agent	Approved	07/28/2023
B Colorado	Agent	Approved	04/08/2020
B Delaware	Agent	Approved	01/31/2024
B Florida	Agent	Approved	06/26/2012
B Georgia	Agent	Approved	10/27/2025
B Idaho	Agent	Approved	11/18/2024
B Nebraska	Agent	Approved	03/24/2020
B New Mexico	Agent	Approved	03/22/2012
B Oklahoma	Agent	Approved	10/02/2017
B Pennsylvania	Agent	Approved	04/23/2026



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	02/15/2012
IA Texas	Investment Adviser Representative	Approved	03/03/2012
B Virginia	Agent	Approved	11/18/2025

Branch Office Locations

PRINCIPAL SECURITIES, INC.
5080 SPECTRUM DR
STE 1200E
ADDISON, TX 75001



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, 2 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	01/28/2005
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/24/2004
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
B	01/31/2005 - 01/25/2012	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	EL PASO, TX
IA	01/31/2005 - 01/25/2012	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	EL PASO, TX

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
07/2023 - Present	North Texas Tax and Financial	Owner/Financial Representative	Y	Addison, TX, United States
03/2016 - Present	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	ADDISON, TX, United States
01/2012 - Present	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	ADDISON, TX, United States
03/2015 - 03/2026	STRATEGUS FINANCIAL CONSULTING LLC	FINANCIAL REPRESENTATIVE	Y	ADDISON, TX, 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.

**FIXED INSURANCE, ANNUITIES, LTC, DENTAL, HEALTH, DI, Non-medical group insurance, 9/1/17.

**Noey Enterprises LLC; Not Investment Related; 8652 Paradise Dr, McKinney, TX 75070; Owner; LLC established to hold rental property, co-own with wife.; Start Date: 03/01/2014; 0 hrs per month; 0 during trading hours.

**NORTH TEXAS TAX & FINANCIAL

POSITION: North Texas Tax & Financial NATURE: CPA/Accounting Services/Tax Preparation INVESTMENT RELATED: No NUMBER OF HOURS: 19 SECURITIES TRADING HOURS: 19 START DATE: 01/01/2024 ADDRESS: 5080 Spectrum Dr, Suite 1200E, Addison TX 75001, United States DESCRIPTION: Tax Preparation and bookkeeping services provided by employees.

**BLUESTAR EQUITY HOLDINGS LLC

POSITION: Manager NATURE: Owner/Partner/of LLC/S-Corp/REIT INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 12/18/2025 ADDRESS: 2801 Adon Springs Ln, Celina TX 75009, United States DESCRIPTION: It is an LLC that will own my private office.



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
Criminal	1
Customer Dispute	2

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:	Texas
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Reprimand
Date Initiated:	08/15/2018
Docket/Case Number:	IC18-CAF-01

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: John William Noey ("Respondent") failed to update the Form U4 to report a criminal charge as required by the Rules and Regulations of the Texas State Securities Board ("Board Rules"). On October 3, 2012, Respondent was charged with a misdemeanor offense that involved theft of property with a value of more than fifty dollars (\$50.00) but less than five hundred dollars (\$500.00). Sections 115.9(a)(3) and 116.9(a)(3) of the Board Rules require a registered person to report to the Securities Commissioner within thirty (30) days after its occurrence any misdemeanor action based on fraud, deceit, or wrongful taking of property. Respondent did not update the Form U4 to report the charge until April 23, 2018. Respondent filed a total of twelve (12) Form U4 amendments between the time initially charged and the date on which Respondent finally disclosed the charge.



Respondent's failure to report to the Securities Commissioner the misdemeanor charge within thirty (30) days of such changes are violations of §115.9(a)(3) and §116(a)(3) of the Board Rules.
 It is Ordered that John William Noey is hereby Reprimanded. It is further Ordered that John William Noey shall pay an Administrative Fine in the amount of \$5,000.00. Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of \$5,000.00 payable to the State of Texas, within ten days of the entry of this order.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 08/15/2018

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Reprimand

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:

Is Payment Plan Current:

Date Paid by individual: 08/15/2018

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: Texas State Securities Board

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Reprimand

Date Initiated: 08/08/2018

Docket/Case Number: IC18-CAF-XX

Employing firm when activity occurred which led to the regulatory action: Principal Securities, Inc.

Product Type: No Product

Allegations: Failure to update form U4 timely.



Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/15/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: The Securities Commissioner ordered that the representative be reprimanded.
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:	
Is Payment Plan Current:	
Date Paid by individual:	08/09/2018
Was any portion of penalty waived?	No
Amount Waived:	



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	EL PASO COUNTY TEXAS
Location of Court:	EL PASO, TX
Docket/Case #:	2012OC10451
Charge Date:	10/03/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT OF PROPERTY >\$50 TO \$500
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	01/09/2013
Disposition Date:	01/09/2013
Sentence/Penalty:	11/07/2012 - 40 HRS COMMUNITY SERVICES, \$500 DONATION TO CRIME STOPPERS, THEFT COUNSELING



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRINCIPAL SECURITIES, INC.
Allegations:	The Trustee alleges the representative ceased providing advice and services, and his failure to act in the best interests of the Trust resulted in damages.
Product Type:	Other: Advisory Services
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The client does not allege a specific amount regarding the claim, and the firm cannot make a good faith argument that the amount is less than \$5,000.
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:	09/09/2025
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	10/07/2025
Settlement Amount:	

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	State Court
Name of Court:	District Court for the County of Dallas, Texas
Location of Court:	Dallas County, TX
Docket/Case #:	DC-25-15483
Date Notice/Process Served:	09/09/2025
Litigation Pending?	Yes
Broker Statement	DRP questions 7-10 for the litigation were filed in error; corrected to answer questions 17-19.



Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURIAN FINANCIAL SERVICES, INC.

Allegations: FAILURE TO LIQUIDATE VARIABLE ANNUITY SUB ACCOUNTS AS INSTRUCTED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$13,000.00

Customer Complaint Information

Date Complaint Received: 06/20/2005

Complaint Pending? No

Status: Settled

Status Date: 05/10/2006

Settlement Amount: \$10,223.65

Individual Contribution Amount: \$0.00

Broker Statement DUE TO MISUNDERSTANDING BETWEEN REP AND CLIENT, LIQUIDATION WAS DELAYED BY APPROXIMATELY ONE MONTH. CLIENT'S ACCOUNTS WERE CREDITED FOR LOSS IN VALUE DUE TO DELAY.



End of Report

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