IAPD Report

DANIEL SCOTT WOODHAM

CRD# 5193449

Section Title | **Page(s)**

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

DANIEL SCOTT WOODHAM (CRD# 5193449)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	04/25/2007
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	05/20/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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

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	3

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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 **11** 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	04/25/2007
B	FINRA	General Securities Representative	Approved	01/16/2020
B	Florida	Agent	Approved	09/12/2007
IA	Florida	Investment Adviser Representative	Approved	05/20/2020
B	Georgia	Agent	Approved	05/23/2024
B	Illinois	Agent	Approved	04/17/2026
B	Indiana	Agent	Approved	07/11/2024
B	Minnesota	Agent	Approved	02/24/2021
B	Nevada	Agent	Approved	06/11/2020
B	New Mexico	Agent	Approved	10/07/2021
B	North Carolina	Agent	Approved	05/27/2020
B	Pennsylvania	Agent	Approved	01/06/2026
B	South Carolina	Agent	Approved	09/15/2021

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Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	03/02/2021
IA	Texas	Investment Adviser Representative	Approved	06/17/2021

Branch Office Locations

PRINCIPAL SECURITIES, INC.
4830 W Kennedy Blvd
Ste 550
Tampa, FL 33609

PRINCIPAL SECURITIES, INC.
Brooksville, FL

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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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/16/2020
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/23/2007

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/18/2020

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
03/2021 - Present	Paladin Wealth Management	Financial Professional	Y	Tampa, FL, United States
03/2016 - Present	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	TAMPA, FL, United States
07/2006 - Present	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	TAMPA, FL, 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, BROKER, LIFE, DI, LTC, FIXED ANNUITIES, 1/26/12.

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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.

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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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Principal Securities, Inc.
Allegations:	A client of the firm (CW) made allegations concerning another client's (DW) variable annuity account. Divorce proceedings were pending between DW and CW. DW (the father of the registered representative) died in August 2015. CW (the step-mother of the registered representative) alleged that during the lifetime of DW, the registered representative forged DW's name on checks and made recommendations to DW that CW felt were not in the best interest of DW or herself, as beneficiary. It appears all the activities complained of by the step mother were done after the divorce proceeding was filed.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client did not allege specific damages and the firm cannot make a good faith determination that the alleged damages were 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:	05/11/2017

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Complaint Pending?	No
Status:	Denied
Status Date:	07/05/2017
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	My father [third party] was abandoned by his wife [customer] 9 months before his death and was no longer living with her. [customer] seized all jointly held marital funds while he was hospitalized (without his permission) subsequently liquidating those joint assets moving them to accounts held in her name only. Since my father's qualified plan retirement funds were the only source of funds that my father had left to live on he came to me for help in structuring how to make his retirement savings last as long as possible as well as provide a legacy to my sister and I in the event of his demise. My father [third party]shortly after filed for divorce and began an attempt to recoup his assets. In addition, my father in a documented phone conversation with compliance stated that this retirement account was set up solely by him with no coercion from any family members thus proving the falsity of the claim of any forged checks or documents. In summary, [third party] and [customer] were estranged and not living together for the prior 9 months before his passing. He deemed divorce to be in his best interest after she liquidated all marital joint accounts without his knowledge and or permission while he was in the hospital and it was his decision that he would change beneficiaries of his retirement plan assets to protect his children in the event of his demise. All allegations to the contrary are unfounded with no basis in fact.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORPORATION
Allegations:	CUSTOMER ALLEGES HE DID NOT AUTHORIZE LIQUIDATION OF 401(K) AND PURCHASE OF FUNDS IN IRA.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGE ALLEGED; HOWEVER, THE FIRM COULDN'T MAKE A DETERMINATION THE AMOUND WOULD BE LESS THAN $5000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

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Customer Complaint Information

Date Complaint Received: 08/21/2013

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/05/2013

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES INC

Allegations: PURCHASE OF VUL OCCURED 5/27/08, CLIENT CONTACTED ME ON 9/25/08 TO SUSPEND PREMIUM TO BUY $80,000 BOAT. DEC 2008 CONTACTED ME TO SAY HE COULDN'T PAY PREMIUM DUE TO DOWN TURN IN BUSINESS FORTUNE. 1/6/08 SUBMITTED $500 PARTIAL PREMIUM WHICH WENT NSF IN BANK. ALLEGATION SURFACES IN LETTER OF COMPLIANT RECEIVED 1/27/09

Product Type: Other

Other Product Type(s): VARIABLE LIFE INSURANCE

Alleged Damages: $6,000.00

Customer Complaint Information

Date Complaint Received: 01/27/2009

Complaint Pending? No

Status: Denied

Status Date: 02/02/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement NEEDS BASED SELLING OCCURED OVER 4 INTERVIEWS WITH FULL DISCLOSURE OCCURED. CAN BE SUBSTANTIATED AND IS DETAILED IN MY RESPONSE TO COMPLIANT SUBMITTED TO MY BROKER/DEALER PRINCOR, COMPLIANT DENIED BY BROKER/DEALER

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End of Report

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