



## IAPD Report

# Shawn Benjamin Mahoney

CRD# 6411181

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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

### Shawn Benjamin Mahoney (CRD# 6411181)

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 **03/05/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	04/01/2025
<b>IA</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	04/01/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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>B</b>	NYLIFE SECURITIES LLC	5167	CREVE COEUR, MO	06/26/2024 - 03/03/2025
<b>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	ST. LOUIS, MO	01/16/2015 - 07/17/2019
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	ST. LOUIS, MO	12/04/2014 - 07/17/2019

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
Financial	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 **12** 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	04/01/2025
B	FINRA	General Securities Representative	Approved	09/22/2025
B	Arkansas	Agent	Approved	04/01/2025
B	Colorado	Agent	Approved	04/01/2025
B	Florida	Agent	Approved	04/01/2025
B	Illinois	Agent	Approved	04/01/2025
B	Indiana	Agent	Approved	04/01/2025
B	Iowa	Agent	Approved	04/01/2025
B	Kansas	Agent	Approved	04/01/2025
B	Missouri	Agent	Approved	04/01/2025
IA	Missouri	Investment Adviser Representative	Approved	04/01/2025
B	New Mexico	Agent	Approved	04/01/2025
B	Oregon	Agent	Approved	04/01/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	04/01/2025
<b>IA</b> Texas	Investment Adviser Representative	Approved	04/01/2025
<b>B</b> Wisconsin	Agent	Approved	04/01/2025

### Branch Office Locations

**PRINCIPAL SECURITIES, INC.**  
Saint Louis, MO

**PRINCIPAL SECURITIES, INC.**  
16305 SWINGLEY RIDGE RD  
STE 465  
CHESTERFIELD, MO 63017



## 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, 4 general industry/product exams, and 3 state securities law exams.**





#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.





#### General Industry/Product Exams

Exam	Category	Date
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 General Securities Representative Examination (S7TO)	Series 7TO	09/22/2025
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	06/26/2024
 Securities Industry Essentials Examination (SIE)	SIE	06/03/2024
 General Securities Representative Examination (S7)	Series 7	12/04/2014

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/13/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/2024
  Uniform Combined State Law Examination (S66)	Series 66	01/15/2015

### 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>B</b>	06/26/2024 - 03/03/2025	NYLIFE SECURITIES LLC	CRD# 5167	CREVE COEUR, MO
<b>IA</b>	01/16/2015 - 07/17/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ST. LOUIS, MO
<b>B</b>	12/04/2014 - 07/17/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ST. LOUIS, MO

#### 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
03/2025 - Present	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	SAINT LOUIS, MO, United States
03/2025 - Present	PRINCIPAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAINT LOUIS, MO, United States
06/2024 - 03/2025	NYLIFE SECURITIES, LLC	Registered Representative	Y	Creve Coeur, MO, United States
05/2024 - 03/2025	New York Life Insurance Co	Agent	Y	Creve Coeur, MO, United States
11/2023 - 06/2024	Upwork	1099 Life Coach	N	Saint Louis, MO, United States
11/2023 - 01/2024	Uber	Driver	N	Saint Louis, MO, United States
08/2023 - 10/2023	Unemployed	Unemployed	N	Saint Louis, MO, United States
07/2022 - 07/2023	NeuroLeadership Institute	Senior Consultant	N	New York, MO, United States
07/2019 - 06/2022	Slalom Consulting	Consultant	N	Saint Louis, MO, United States
11/2016 - 07/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ST LOUIS, MO, United States
03/2013 - 12/2018	EMC2 THE WORLD DBA GLOBALWISE COMMUNITIES	FOUNDER/BOARD PRESIDENT	N	SAINT LOUIS, MO, United States
10/2014 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	ST LOUIS, MO, United States



## Registration & Employment History



### 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 SALES VIA PPN/CRUMP**

POSITION: Financial Representative NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 20 START DATE: 04/28/2025

ADDRESS: 1800 S Brentwood Blvd, Apt 1424, St. Louis MO 63144, United States

DESCRIPTION: Offering Non-proprietary Insurance products and services via PPN/Crump for through various carriers for LTC; Life Insurance; Annuities; DI and group insurance.

**\*\*VARSITY TUTORS**

POSITION: Tutor NATURE: Tutoring INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 8

START DATE: 10/20/2025

ADDRESS: 1800 S Brentwood Blvd, Apt 1424, St. Louis MO 63144, United States

DESCRIPTION: I tutor clients age 12 to unlimited in approved tutoring subjects. Subjects include ACT/SAT/SSAT, Anthropology, Chinese, Finance, Sociology, Work History and more. most hours are outside of trading hours, occasionally I will tutor during trading hours. All tutoring occurs online.



## 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
Financial	1

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 01/30/2026

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 02/28/2026

**If a compromise with creditor, provide:**

**Name of Creditor:** SoFi Bank, N.A.

**Original Amount Owed:** \$45,532.74

**Terms Reached with Creditor:** The terms of compromise were to pay \$22,766.37 on or before February 14, 2026. If payment made, amount \$22,766.37 written off and considered "account paid in full for less than the full balance. "



## End of Report

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