



## IAPD Report

# CONOR J BOFFELI

CRD# 6707260

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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

### CONOR J BOFFELI (CRD# 6707260)

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 **03/31/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	10/28/2024
<b>IA</b>	PRINCIPAL SECURITIES, INC.	CRD# 1137	10/29/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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>	COMMONWEALTH FINANCIAL NETWORK	8032	West Des Moines, IA	08/09/2022 - 10/29/2024
<b>IA</b>	COMMONWEALTH FINANCIAL NETWORK	8032	West Des Moines, IA	08/09/2022 - 10/29/2024
<b>IA</b>	PRINCIPAL SECURITIES, INC.	1137	WEST DES MOINES, IA	09/04/2019 - 08/17/2022

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?

**No**



## 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 **24** 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>B</b> FINRA	General Securities Representative	Approved	10/28/2024
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	10/28/2024
<b>B</b> Alabama	Agent	Approved	10/28/2024
<b>B</b> Arizona	Agent	Approved	10/28/2024
<b>B</b> California	Agent	Approved	10/28/2024
<b>B</b> Colorado	Agent	Approved	03/10/2025
<b>B</b> Florida	Agent	Approved	10/28/2024
<b>B</b> Illinois	Agent	Approved	10/28/2024
<b>B</b> Indiana	Agent	Approved	10/28/2024
<b>B</b> Iowa	Agent	Approved	10/28/2024
<b>IA</b> Iowa	Investment Adviser Representative	Approved	10/29/2024
<b>B</b> Kansas	Agent	Approved	10/28/2024
<b>B</b> Maryland	Agent	Approved	01/12/2026



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	10/28/2024
<b>B</b> Minnesota	Agent	Approved	10/28/2024
<b>B</b> Mississippi	Agent	Approved	03/31/2026
<b>B</b> Missouri	Agent	Approved	10/28/2024
<b>B</b> Nebraska	Agent	Approved	10/28/2024
<b>B</b> New Jersey	Agent	Approved	04/17/2025
<b>B</b> Ohio	Agent	Approved	12/12/2025
<b>B</b> Pennsylvania	Agent	Approved	09/22/2025
<b>B</b> Rhode Island	Agent	Approved	04/15/2025
<b>B</b> Tennessee	Agent	Approved	02/17/2025
<b>B</b> Texas	Agent	Approved	02/09/2026
<b>IA</b> Texas	Investment Adviser Representative	Approved	02/09/2026
<b>B</b> Virginia	Agent	Approved	10/21/2025
<b>B</b> Washington	Agent	Approved	10/28/2024
<b>B</b> Wisconsin	Agent	Approved	10/28/2024

### Branch Office Locations

#### PRINCIPAL SECURITIES, INC.

6701 Westown Pkwy  
Ste 200  
West Des Moines, IA 50266



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/27/2017

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/06/2017
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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	08/09/2022 - 10/29/2024	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	West Des Moines, IA
IA	08/09/2022 - 10/29/2024	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	West Des Moines, IA
IA	09/04/2019 - 08/17/2022	PRINCIPAL SECURITIES, INC.	CRD# 1137	WEST DES MOINES, IA
B	09/03/2019 - 08/17/2022	PRINCIPAL SECURITIES, INC.	CRD# 1137	WEST DES MOINES, IA
B	01/27/2017 - 08/19/2019	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	urbandale, IA

#### 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
10/2024 - Present	Aligned Wealth Advisors	Founding Partner	Y	West Des Moines, IA, United States
10/2024 - Present	Principal Securities, Inc.	Registered Representative	Y	West Des Moines, IA, United States
08/2022 - 10/2024	Commonwealth Financial Network	Advisor	Y	San Diego, CA, United States
09/2019 - 10/2024	Bral Niedert Wealth Advisors	Financial Representative	Y	West Des Moines, IA, United States
09/2019 - 08/2022	Principal Life Insurance Company	Financial Representative/Agent	Y	WDM, IA, United States
09/2019 - 08/2022	Principal Securities Inc	Registered Representative	Y	WDM, IA, United States
04/2017 - 09/2019	Northwestern Mutual Wealth Management Company	Representative	Y	Milwaukee, WI, United States
10/2016 - 09/2019	Edward McGill	Associate Agent	Y	Urbandale, IA, United States
10/2016 - 09/2019	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Urbandale, IA, United States
09/2016 - 09/2019	McGill Junge Wealth Management	Associate Advisor	Y	Urbandale, IA, United States
09/2016 - 10/2016	Edward McGill	Agent Assistant	Y	Urbandale, IA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2015 - 08/2016	Cleveland Browns	professional athlete	N	Berea, OH, 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.

#### \*\*ALIGNED WEALTH ADVISORS (DBA)

POSITION: Founding Partner NATURE: DBA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 7 START DATE: 10/29/2024

ADDRESS: 6701 Westown Parkway, Suite 200, West Des Moines IA 50266, United States

DESCRIPTION: All normal IAR activities as approved by Principal Securities. Paid via commissions and fees from clients.

#### \*\*FIXED INSURANCE

POSITION: Registered Representative NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 11/01/2024

ADDRESS: 6701 Westown Pkwy, Suite 200, West Des Moines IA 50266, United States

DESCRIPTION: Fixed insurance: life insurance, disability insurance, annuities, long term care, health, Medicare supplements, group benefits.

#### \*\*UNITED WAY OF CENTRAL IOWA

POSITION: Essential Needs Cabinet NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2024

ADDRESS: 1111 9th Street, #100, Des Moines IA 50314, United States

DESCRIPTION: Essential needs cabinet member. Review non-profit applications and participate in funding decisions. There are 10 other members of this cabinet. Meet quarterly.

#### \*\*CJB HOLDING COMPANY, LLC

POSITION: Owner NATURE: Owner/Partner/of LLC/S-Corp/REIT INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2024

ADDRESS: 1017 45th Street, West Des Moines IA 50266, United States

DESCRIPTION: This is an LLC tied to my wealth management practice. The LLC is for overhead, tax, liability purposes and is taxed as an S-Corp at the direction of my CPA. It is a one member LLC.

#### \*\*POLK COUNTY I CLUB

POSITION: Board Member NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2024

ADDRESS: 1017 45th Street, West Des Moines IA 50266, United States

DESCRIPTION: Board member. 40 other board members. Help with event planning, fundraising, and ongoing support of University of Iowa Athletics programs. There are monthly board meetings. I do not attend all of them.

#### \*\*CAN PLAY

POSITION: Advisory Board NATURE: Board Member/Officer/Director of an Organization INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2024

ADDRESS: 6500 Grand Ave, West Des Moines IA 50266, United States

DESCRIPTION: Advisory Board member. Provide ongoing guidance in relation to operations, fundraising, and program development. 15 others sit on this board. We meet 1x a year.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES



## End of Report

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