IAPD Report

JOHN ANTHONY WENSTRUP

CRD# 1128766

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

JOHN ANTHONY WENSTRUP (CRD# 1128766)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	04/04/2011
IA	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	04/04/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
IA	JONATHAN ROBERTS ADVISORY GROUP, INC.	112294	TAMPA, FL	12/24/2008 - 03/09/2011
B	J.W. COLE FINANCIAL, INC.	124583	MILFORD, OH	12/19/2008 - 03/09/2011
IA	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	MILFORD, OH	12/09/2005 - 12/19/2008

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	2

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

Employment 1 of 1

Firm Name: **AUSDAL FINANCIAL PARTNERS, INC.**

Main Address: 5187 UTICA RIDGE RD
DAVENPORT, IA 52807

Firm ID#: 7995

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/04/2011
B	FINRA	Invest. Co and Variable Contracts	Approved	04/04/2011
B	California	Agent	Approved	01/02/2024
B	Colorado	Agent	Approved	04/05/2011
B	Florida	Agent	Approved	08/24/2018
IA	Florida	Investment Adviser Representative	Approved	08/27/2018
IA	Indiana	Investment Adviser Representative	Approved	04/05/2011
B	Indiana	Agent	Approved	04/11/2011
B	Kentucky	Agent	Approved	04/04/2011
IA	Kentucky	Investment Adviser Representative	Approved	04/04/2011
B	New York	Agent	Approved	04/21/2015
B	Ohio	Agent	Approved	04/08/2011
IA	Ohio	Investment Adviser Representative	Approved	04/08/2011

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Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	03/03/2025

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
MILFORD, OH

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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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/19/1993
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/17/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/28/1990

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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.

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Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/24/2008 - 03/09/2011	JONATHAN ROBERTS ADVISORY GROUP, INC.	CRD# 112294	TAMPA, FL
B	12/19/2008 - 03/09/2011	J.W. COLE FINANCIAL, INC.	CRD# 124583	MILFORD, OH
IA	12/09/2005 - 12/19/2008	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	MILFORD, OH
B	12/07/2005 - 12/19/2008	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	MILFORD, OH
B	05/06/2004 - 11/28/2005	QA3 FINANCIAL CORP.	CRD# 14754	OMAHA, NE
B	08/28/2002 - 08/01/2003	THE HUNTINGTON INVESTMENT COMPANY	CRD# 16986	COLUMBUS, OH
B	11/19/1997 - 05/17/2002	RED CAPITAL MARKETS, INC.	CRD# 14840	COLUMBUS, OH
B	01/20/1995 - 11/12/1997	AIG EQUITY SALES CORP.	CRD# 5967	NEW YORK, NY
B	04/18/1994 - 12/31/1994	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	09/03/1992 - 04/18/1994	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	09/03/1992 - 04/18/1994	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	01/03/1990 - 09/01/1992	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	01/23/1989 - 12/13/1989	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	NEW YORK, NY
B	07/29/1985 - 01/30/1989	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT
B	08/18/1983 - 06/27/1985	HL SECURITIES, INC.	CRD# 10410	

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Registration & Employment History

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
07/2003 - Present	THE WENSTRUP COMPANY	OWNER/PRESIDENT	Y	MILFORD, 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.

1. LICENSED INSURANCE AGENT SINCE 1978 FOR LIFE, ANNUITY, ACCIDENT AND HEALTH AND PROPERTY AND CASUALTY - I ALSO DO INSURANCE CONSULTING; COMPENSATION BY COMMISSIONS FOR SALES AND FEES FOR CONSULTING.
2. MARCH FORTH PRODUCTIONS, LLC; NON-INVESTMENT RELATED; MILFORD, OH; PROVIDE PERFORMANCES AS SPECIAL CHARACTERS; MANAGER/PERFORMER; ACTIVITY BEGAN 10/2016; I DEVOTE APPX 10 HOURS TO THIS ACTIVITY WITH 3 OF THOSE HOURS DURING TRADING HOURS; ENTERTAIN AUDIENCES DRESSED AS SPECIAL CHARACTERS, SCHEDULE PERFORMANCES AND COLLECT PAYMENTS.
3. MARCH FOURTH PRODUCTIONS; NON-INVESTMENT RELATED; MILFORD, OH; HANDYMAN; ACTIVITY BEGAN IN 02/2022; I DEVOTE APPX 5 HOURS WITH 2 OF THOSE HOURS DURING TRADING HOURS TO THIS ACTIVITY PER MONTH; LIGHT HANDYMAN REPAIR(S) FOR SMALL BUSINESSES AND HOMEOWNERS.
4. REGIONAL AREA COSTUME COLLABORATIVE, INC; NOT INVESTMENT RELATED; MILFORD, OH; COSTUME SHARING WITH REGIONAL THEATRICAL PERFORMANCES; CEO; ACTIVITY BEGAN 03/2026; I DEVOTE APPX 12 HOURS PER MONTH TO THIS ACTIVITY WITH NONE OF THOSE HOURS DURING TRADING HOURS; ESTABLISHING THE CORPORATION AND WORKING WITH OTHERS TO PROVIDE HIGH QUALITY COSTUMING FOR SMALL PERFORMANCES.

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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	2

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:	Ausdal Financial Partners, Inc.
Allegations:	Client alleges misrepresentation of death benefit and annual step up of rider of a Transamerica Variable Annuity Series B-Share product was recommended in May/June 2015. Specifically, client alleges she was not told withdrawals from the policy could impact the death benefit and not pay the beneficiary the full premium. Further, the client alleges she was not told withdrawals from the policy could impact the annual step up of the Guaranteed Lifetime Withdrawal Benefit Rider by causing it to not be applicable in years when withdrawals are made. Finally, the client alleges the rep was not able to tell her, during a meeting in 2016, what her exact annual fees were for the investment, and that his estimate was almost half of what other investment firms told her. The customer slid the complaint letter under the reps door on the morning of March 30, 2017 and is seeking to have the surrender charges reduced as she would like to get out of the product.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The client does not allege a dollar amount of damages. The original contact value was $310,354 and the current surrender charge is around $20,000.
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: 03/30/2017

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/11/2019

Settlement Amount:

Individual Contribution Amount:

Broker Statement The client is a member of an investment club and has received comments and opinions from the members that VA's are not good products. Further, the client appears to be influenced by negative TV commercials regarding VA's. The client may also be receiving coaching by another investment professional. Subsequent to the purchase of the Transamerica VA, the client had a life event that may also be causing her to question her investment. The client and I have met on a regular basis to discuss her investment and review the facts and circumstances for the original recommendation. We also review all aspects of the product as a reminder of the fees and expenses and how the death benefit and rider work. The client has invested in variable products prior to our relationship and appears to be familiar with how they work. It appears the client has lost confidence in her investment decision based on discussion with other persons, and due to life changes since the purchase. I deny the allegations made by the client as the features of the death benefit and rider were fully and clearly explained at the time the product was recommended.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: QA3 FINANCIAL CORP

Allegations: CLIENT EXPRESSED CONCERNS REGARDING SIGNATURE ON FIXED ANNUITY CONTRACT

Product Type: Annuity(ies) - Fixed

Alleged Damages: $7,737.39

Customer Complaint Information

Date Complaint Received: 01/31/2007

Complaint Pending? No

Status: Denied

Status Date: 12/27/2006

Settlement Amount:

Individual Contribution Amount:

Firm Statement QA3 DID NOT SEE ANY DOCUMENTATION ON THIS COMPLAINT. ONLY THE AMENDMENT FILED BY HIS CURRENT BROKER DEALER.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	QA3 FINANCIAL CORPORATION
Allegations:	CLIENT EXPRESSED CONCERNS REGARDING SIGNATURE ON FIXED ANNUITY CONTRACT.
Product Type:	No Product
Other Product Type(s):	EQUITY INDEXED ANNUITY
Alleged Damages:	$7,737.39

Customer Complaint Information

Date Complaint Received:	12/07/2006
Complaint Pending?	No
Status:	Denied
Status Date:	12/27/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	COMPENSATORY DAMAGES REFLECT CURRENT NET TO CLIENT AFTER SURRENDER CHARGES. PLEASE REFERENCE NASD EXAMINATION NUMBER 20060071016 REGARDING THESE ALLEGATIONS.

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End of Report

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