IAPD Report

JEFFREY S HARTFIELD

CRD# 1637055

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

JEFFREY S HARTFIELD (CRD# 1637055)

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 **10/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	09/26/2019
IA	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	11/19/2019

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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	JEFFERSONVILLE, IN	08/11/2015 - 01/30/2018
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	JEFFERSONVILLE, IN	08/11/2015 - 01/30/2018
IA	NFP ADVISOR SERVICES, LLC	42046	NEW ALBANY, IN	10/26/2000 - 08/14/2015

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	4
Termination	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 **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	09/26/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	09/26/2019
B	Alabama	Agent	Approved	01/13/2022
B	Florida	Agent	Approved	05/11/2020
IA	Florida	Investment Adviser Representative	Approved	05/11/2020
B	Georgia	Agent	Approved	11/28/2022
B	Illinois	Agent	Approved	04/30/2020
B	Indiana	Agent	Approved	11/19/2019
IA	Indiana	Investment Adviser Representative	Approved	11/19/2019
B	Kentucky	Agent	Approved	03/25/2020
B	North Carolina	Agent	Approved	02/17/2020
B	Texas	Agent	Approved	11/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/10/2025

Qualifications

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
10135 NW 27th DRIVE
WILDWOOD, FL 34785

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	01/30/2018
B	General Securities Representative Examination (S7)	Series 7	07/05/2001
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/02/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/02/1993

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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/11/2015 - 01/30/2018	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	JEFFERSONVILLE, IN
B	08/11/2015 - 01/30/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	JEFFERSONVILLE, IN
IA	10/26/2000 - 08/14/2015	NFP ADVISOR SERVICES, LLC	CRD# 42046	NEW ALBANY, IN
B	08/10/2000 - 08/14/2015	NFP ADVISOR SERVICES, LLC	CRD# 42046	NEW ALBANY, IN
B	10/06/1994 - 08/10/2000	OGILVIE SECURITY ADVISORS CORPORATION	CRD# 10105	CHICAGO, IL
B	11/30/1993 - 10/17/1994	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	08/24/1993 - 12/06/1993	OGILVIE & TAYLOR SECURITIES CORPORATION	CRD# 10105	CHICAGO, IL
B	06/03/1993 - 07/22/1993	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT

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
07/2019 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
01/2018 - Present	SELF EMPLOYED	AGENT	N	JEFFERSONVILLE, IN, United States
08/2015 - 01/2018	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	FAIRFIELD, IA, United States
08/2015 - 01/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, 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.

1)JSB VENTURES; NON-INVESTMENT RELATED; CHARLESTOWN, IN; RANCH, RODEO, REAL ESTATE; CEO; ACTIVITY BEGAN IN 1995; I DEVOTE APPX 40 HOURS PER MONTH WITH 20 OF THOSE HOURS DURING TRADING HOURS TO THIS ACTIVITY; MANAGE FARM AND ASSETS.

2)INSURANCE SALES; INVESTMENT RELATED; JEFFERSONVILLE, IN; INSURANCE; AGENT; ACTIVITY BEGAN IN 1983; I DEVOTE APPX 20 HOURS PER MONTH TO THIS ACTIVITY WITH FEW OF THOSE HOURS DURING TRADING HOURS; SALE OF VARIOUS INSURANCE PRODUCTS.

3) HARTFIELD FAMILY TRUST; NON-INVESTMENT RELATED; CHARLESTOWN, IN; TRUST; TRUSTEE; ACTIVITY BEGAN IN 2016; I DEVOTE APPX 40 HOURS PER MONTH TO THIS ACTIVITY WITH 20 OF THOSE HOURS DURING TRADING HOURS; MANAGE AND SELL TRUST ASSETS, MOST OF WHICH IS REAL ESTATE HOLDINGS.

4)NELSON ROAD 2005, LLC; INVESTMENT RELATED; LAKEWOOD RANCH, FL; FAMILY TRUSTS INVESTED PRIMARILY IN REAL ESTATE (JE HARTFIELD TRUST FOR JEFF, JE HARTFIELD TRUST FOR JAMES, JE HARTFIELD TRUST FOR STEPHANIE, JAMES E HARTFIELD TRUST FOR PAMELA: JEFF HARTFIELD IS TRUSTEE FOR ALL TRUSTS) TRUSTEE; ACTIVITY BEGAN JULY 2015, TRUSTS ESTABLISHED 06.2014; I DEVOTE APPX 5 HOURS PER MONTH TO THIS ACTIVITY ALL DURING TRADING HOURS; TRUSTEE POWERS.

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	4
Termination	1

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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	North Carolina Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/21/2017
Docket/Case Number:	113062
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Product Type:	No Product
Allegations:	FAILURE TO TIMELY DISCLOSE CONSENT ORDER BY FL DEPARTMENT OF FINANCIAL SERVICES
Current Status:	Final
Resolution:	Order
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:	07/20/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$250.00
Portion Levied against individual:	$250.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	01/10/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	NC IMPOSED A MONETARY FINE OF $250.

Disclosure 2 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	Washington Office of the Insurance Commissioner (WAOIC)
Sanction(s) Sought:	Revocation
Date Initiated:	08/04/2017
Docket/Case Number:	17-0200
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH
Product Type:	No Product
Allegations:	LICENSEE FAILED TO REPORT ADMINISTRATIVE ACTION BY ANOTHER STATED AND FAILED TO RESPOND TO WA DEPARTMENT OF INSURANCE LETTERS.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/30/2019
Sanctions Ordered:	Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$500.00

Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	09/22/2019
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Washington reversed the order of denial and imposed a monetary penalty of $500.

Disclosure 3 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial
Date Initiated:	06/03/2016
Docket/Case Number:	PLBS 10320
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH, INC
Product Type:	No Product
Allegations:	FAILURE TO RESPOND TO REQUESTS BY CA DEPT OF INSURANCE RELATING TO AN INCORRECT RESPONSE ON APPLICATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/20/2016
Sanctions Ordered:	Denial
Broker Statement	MR. HARTFIELD FILED AN INCORRECT APPLICATION FOR THE STATE OF CA BY NOT DICLOSUING AN ARREST FOR DUI. CA REQUESTED INFORMATION AND MR. HARTFIELD DID NOT RESPOND OR FILE A NOTICE OF DEFENSE AND AS A RESULT THE STATE OF CA ISSUED A DEFAULT DECISION AND DENIAL OF LICENSE(FILE No. PLBS 10320-AP). APRIL 9,2018, AFTER APPEAL, CA ISSUED AN ORDER OF SUMMARY DENIAL OF UNRESTRICTED LICENSE AND FOR ISSUANCE OF A RESTRICTED CA LICENSE (File No.PLBS 10320-B). JUNE 6, 2019, AFTER FURTHER APPEAL, CA ISSUED AN ORDER REMOVING RESTRICTIONS ON THE CA INSURANCE LICENSE AND ISSUANCE OF AN UNRESTRICTED LICENSE (File No. PLBS 10320-E).

Disclosure 4 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/30/2017
Docket/Case Number:	205527-17-AG
Employing firm when activity occurred which led to the regulatory action:	Cambridge
Product Type:	No Product
Allegations:	State alleges RR failed to reveal his misdemeanor criminal history on application for licensure.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/06/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$1,500.00
Portion Levied against individual:	$1,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/11/2017
Was any portion of penalty waived?	No
Amount Waived:	

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Termination Type:	Permitted to Resign
Termination Date:	01/23/2018
Allegations:	PERMITTED TO RESIGN DUE TO ONGOING REGULATORY MATTER
Product Type:	No Product
Broker Statement	DUE TO ONGOING REGULATORY MATTER WITH INCORRECT RESPONSES ON THE STATE OF CA INSURANCE NON RESIDENT LICENSE APPLICATION MR HARTFIELD WAS PERMITTED TO RESIGN.

End of Report

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