



IAPD Report

SHAWN GARY O'KEEFE

CRD# 2494631

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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

SHAWN GARY O'KEEFE (CRD# 2494631)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SUMMIT WEALTH STRATEGIES	CRD# 332976	09/20/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	IMPACT PARTNERSHIP WEALTH, LLC	313928	Denver, CO	07/02/2021 - 03/04/2025
IA	RESOURCES INVESTMENT ADVISORS	106766	Denver, CO	02/26/2018 - 06/30/2021
IA	SUMMIT WEALTH FINANCIAL PLANNERS	289942	CENTENNIAL, CO	10/13/2017 - 03/20/2018

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	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SUMMIT WEALTH STRATEGIES**
Main Address: 425 S CHERRY ST.
SUITE 840
DENVER, CO 80246
Firm ID#: 332976

	Regulator	Registration	Status	Date
	Colorado	Investment Adviser Representative	Approved	09/20/2024
	Minnesota	Investment Adviser Representative	Approved	12/16/2024
	Wyoming	Investment Adviser Representative	Approved	02/12/2026

Branch Office Locations

SUMMIT WEALTH STRATEGIES
425 S CHERRY ST
SUITE 840
DENVER, CO 80246





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 2 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	08/17/2007
	General Securities Principal Examination (S24)	Series 24	04/17/2001

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	06/27/2016
	General Securities Representative Examination (S7)	Series 7	10/12/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/26/1994

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/17/2011
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/24/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/09/1995

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
IA	07/02/2021 - 03/04/2025	IMPACT PARTNERSHIP WEALTH, LLC	CRD# 313928	Denver, CO
IA	02/26/2018 - 06/30/2021	RESOURCES INVESTMENT ADVISORS	CRD# 106766	Denver, CO
IA	10/13/2017 - 03/20/2018	SUMMIT WEALTH FINANCIAL PLANNERS	CRD# 289942	CENTENNIAL, CO
IA	06/10/2016 - 09/15/2017	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	Denver, CO
IA	04/01/2014 - 06/27/2016	INVESTMENT ADVISORS	CRD# 15708	DENVER, CO
B	03/04/2014 - 06/27/2016	PROEQUITIES, INC.	CRD# 15708	DENVER, CO
B	10/11/2011 - 02/10/2014	AXA ADVISORS, LLC	CRD# 6627	DENVER, CO
IA	10/11/2011 - 02/10/2014	AXA ADVISORS, LLC	CRD# 6627	DENVER, CO
B	06/26/2007 - 10/04/2011	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	ENGLEWOOD, CO
B	10/05/1994 - 06/15/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	DENVER, CO
B	07/27/1994 - 09/20/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
08/2024 - Present	Summit Wealth Asset Management	Managing Member, Chief Compliance Officer, CEO, CIO	Y	DENVER, CO, United States
01/2014 - Present	SUMMIT WEALTH STRATEGIES, LLC	MANAGING DIRECTOR	Y	DENVER, CO, United States
07/2021 - 03/2025	IMPACT PARTNERSHIP WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	MARIETTA, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - 06/2021	RESOURCES INVESTMENT ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	OVERLAND PARK, KS, United States
10/2017 - 02/2018	SUMMIT WEALTH FINANCIAL PLANNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	DENVER, CO, United States
06/2014 - 12/2017	REDHAWK WEALTH ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
02/2014 - 12/2017	FUTURITY FIRST	MANAGING DIRECTOR	Y	DENVER, CO, United States
03/2014 - 06/2016	PROEQUITIES, INC	REGISTERED REP	Y	DENVER, CO, 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) Summit Wealth Strategies, LLC; Insurance & Investment Services since 01/2014; 425 S. Cherry St, Ste 840, Denver, CO 80246; Financial Services; Managing Director; 160 Hours Per Month with all 160 Hours Being During Trading Hours.

2) The Impact Partnership, LLC is an insurance marketing organization ("IMO"). Non-Investment Related. Activity: Commission (income) related to the recommendation or sale of life insurance or fixed indexed annuities. Nature of business for this OBA: acting in the capacity of an independent life insurance agent appointed by various insurance carriers to be their agent who can make recommendations or sale an insurance carrier's life insurance and/or fixed index annuities products. Office location: 425 S. Cherry St Suite 840, DENVER, CO 80246. Life insurance agent start date for this OBA: 02/2021. 160 hours per month - with all 160 hours being during trading hours; duties(activity) - the recommendation or sale of life insurance and/or fixed indexed annuities products.

3) The Deferred Tax Strategy; Non Investment Related; 425 S. Cherry St Ste 840 Denver, CO, 80246; Marketing Program; Managing Director; 8/4/2023; 10hrs/Mo; 5hrs/Mo during Securities Trading Hours. Develop marketing strategies to exclusive Financial Advisors and Insurance Agents.

4) Summit Wealth Marketing Co.; Owner.



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
Customer Dispute	1

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	CLIENT ALLEGES THAT THE PRODUCER SUPERVISED A REGISTERED REPRESENTATIVE WHO MADE REPRESENTATIONS ABOUT GUARANTEES OF PERFORMANCE AND OTHER ITEMS THAT SERIOUSLY MISREPRESENTED TO THE CLIENT THE SIGNIFICANT RISKS ASSOCIATED WITH MORTGAGING A PROPERTY IN ORDER TO PURCHASE A VARIABLE ANNUITY IN 2006.
Product Type:	Annuity-Variable
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE ALLEGED TO BE IN EXCESS OF \$100,000.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	12/23/2011
Settlement Amount:	
Individual Contribution Amount:	

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04386

Date Notice/Process Served: 12/23/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/29/2013

Monetary Compensation Amount: \$401,625.00

Individual Contribution Amount: \$0.00

Firm Statement INTERNAL CASE #201116275.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: BASED ON THE FORM U5 AMENDMENT FILED BY THE REPRESENTATIVE'S PREDECESSOR BROKER DEALER, CLIENT ALLEGES THAT THE PRODUCER SUPERVISED A REGISTERED REPRESENTATIVE WHO MADE REPRESENTATIONS ABOUT GUARANTEES OF PERFORMANCE AND OTHER ITEMS THAT SERIOUSLY MISREPRESENTED TO THE CLIENT THE SIGNIFICANT RISKS ASSOCIATED WITH MORTGAGING A PROPERTY IN ORDER TO PURCHASE A VARIABLE ANNUITY IN 2006.

Product Type: Annuity-Variable

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE ALLEGED TO BE IN EXCESS OF \$100,000.

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/23/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



Docket/Case #: 11-04386
Date Notice/Process Served: 12/23/2011
Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/29/2013
Monetary Compensation Amount: \$401,625.00
Individual Contribution Amount: \$0.00
Broker Statement INTERNAL CASE #201116275.

The following is offered regarding FormU5 allegations dated 12/23/2011.

In 2006 the registered rep ("RR"), mentioned in this case, completed an unauthorized use of Mr. Shawn O'Keefe's, MassMutual (MM) / Denver O'Keefe Agency / MML Investor Services - Broker Dealer stationary.

The RR's handwritten letter to his client was never submitted for required approval as required by the firm's policy and procedures; thus, he circumvented the system. Essentially, I believe the RR misrepresented potential performance and the risks associated with the client mortgaging a property to purchase a MassMutual Variable annuity in 2006.

Even though I was the MassMutual General Agent and Branch Manager, I was not a producer in making this recommendation as mentioned in the allegation. I was never accused of any wrongdoing or failure to supervise the RR mentioned.

My compliance team and I followed all normal compliance procedures in this case. It is important to note that I was not fined or subject to any penalties as a result of the arbitration hearing. In short, I was not disciplined in this matter.

During the arbitration hearing, it was discovered that MM/MML Investor Services did not have a compliant prospectus that met California requirements. Therefore, the arbitrator decided to increase settlement a much larger amount over the originally requested amount of \$100,000 to \$401,625.



End of Report

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