IAPD Report

TIMOTHY PATRICK FLYNN

CRD# 2837132

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

TIMOTHY PATRICK FLYNN (CRD# 2837132)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/27/2008
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	10/05/2012
IA	LPL FINANCIAL LLC	CRD# 6413	08/03/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY	03/14/2006 - 07/11/2008
IA	AXA ADVISORS, LLC	6627	NEW YORK, NY	07/30/2002 - 03/21/2006
B	AXA ADVISORS, LLC	6627	NEW YORK, NY	01/03/1997 - 03/21/2006

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
Criminal	2
Customer Dispute	2

Report Summary

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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/27/2008
B	FINRA	Invest. Co and Variable Contracts	Approved	06/27/2008
B	California	Agent	Approved	03/08/2024
B	Colorado	Agent	Approved	07/02/2024
B	Connecticut	Agent	Approved	09/14/2009
B	Delaware	Agent	Approved	07/21/2021
B	Florida	Agent	Approved	07/01/2008
B	Georgia	Agent	Approved	09/17/2008
B	Indiana	Agent	Approved	09/24/2024
B	Maine	Agent	Approved	10/30/2018
B	Maryland	Agent	Approved	04/25/2023
B	Massachusetts	Agent	Approved	06/27/2008
B	Nevada	Agent	Approved	02/26/2021

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	06/27/2008
B	New York	Agent	Approved	06/27/2008
IA	New York	Investment Adviser Representative	Approved	08/03/2021
B	North Carolina	Agent	Approved	10/22/2015
B	Ohio	Agent	Approved	09/16/2008
B	Pennsylvania	Agent	Approved	11/04/2024
B	Texas	Agent	Approved	03/13/2013
B	Virginia	Agent	Approved	10/16/2017

Branch Office Locations

LPL FINANCIAL LLC
56 HARRISON ST SUITE 203
NEW ROCHELLE, NY 10801-6559

LPL FINANCIAL LLC
1669 NORTHAMPTON STREET
HOLYOKE, MA 01040

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**

Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960

Firm ID#: 155216

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	05/27/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	07/24/2024

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
56 HARRISON ST STE 203
NEW ROCHELLE, NY 10801

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 2 state securities law exams.

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	10/25/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/31/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/14/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1997

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
B	03/14/2006 - 07/11/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
IA	07/30/2002 - 03/21/2006	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	01/03/1997 - 03/21/2006	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	06/28/2005 - 01/04/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	01/27/1997 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
09/2012 - Present	PRIVATE ADVISOR GROUP, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW ROCHELLE, NY, United States
06/2008 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NEW ROCHELLE, NY, 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) 6/25/2008 - DBA ONLY - FLYNN FINANCIAL PARTNERS - NEW YORK, NY.

(2) 1/31/2011 - OTHER-Other SALES/MARKETING CONSULTANT - COMPASS POINT SOUTH - ACT AS A SALES/MARKETING CONSULTANT TO A START-UP SMALL BUSINESS OWNED BY MY WIFE IN THE RENEWABLE ENERGY BUSINESS (SOLAR PV) - TIMESPENT 5%.

(3) 05/06/13 - PRIVATE ADVISOR GROUP - REGISTERED INVESTMENT ADVISOR - (HYBRID) PRIVATE ADVISOR GROUP - (HYBRID) WE CHARGE FEE FOR SERVICE, HOURLY COMMISION, WRAP FEES - 70% OF TIME SPENT - NEW YORK, NY

(4) 05/24/2013 - NON-VARIABLE INSURANCE - DOING INSURANCE BUSINESS AWAY FROM LPL FINANICAL - NO P&C BUSINESS - 1% OF TIME SPENT - NEW YORK, NY.

(5) 4/27/2017 - Private Advisor Group - DBA: (Hybrid) Flynn Financial Partners, Ltd. - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 07/01/2008 - 160 Hours Per Month During Securities Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this

Registration & Employment History

OTHER BUSINESS ACTIVITIES

business activity on 4/27/2017. I expect to spend approximately 160 hours/month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

(6) 8/3/2020 - Dowd Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 07/29/2020 - 10 Hours Per Month/0 Hours During Securities Trading.

(7) 9/11/2020 - Flynn Financial Partners - Investment Related - 56 Harrison St, Ste 203 New Rochelle NY 10801- Real Estate Rental - Started 09/09/2020 - 1 Hour Per Month/0 Hours During Securities Trading.

(8) 08/16/2022- F2 PARTNERS HOLDINGS, LLC- Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only-Start Date- 06/30/2022- 5 Hours Per Month/ 5 Hours During Securities Trading

(9) 08/18/2023 - private mortgage/borrower - Other - private mortgage/borrower - Not Investment Related - Lavallette, NJ - Start Date 03/25/2022 - 0 Hours Per Month/ During Trading

(10) 05/09/2024 - the N point group, LLC - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 04/15/2024 - 5 Hours Per Month/ 2 Hours During Trading

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
Criminal	2
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	STATE OF CONNECTICUT SUPERIOR COURT
Location of Court:	GEOGRAPHICAL AREA #12 AT MANCHESTER, CT
Docket/Case #:	CR06-0205249/MV06-401207
Charge Date:	05/16/2006
Charge(s) 1 of 3	
Formal Charge(s)/Description:	1 COUNT- NEGLIGENT HOMICIDE WITH A MOTOR VEHICLE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	01/12/2009
Charge was Amended or reduced to:	CHARGE REMAINED THE SAME EXCEPT REDUCED TO MISDEMEANOR UPON GUILTY PLEA PER CT: STATE VS KLUTTZ (1987) 521 A.2D 178, 9 CONN. APP. 686
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Convicted

Charge(s) 2 of 3	
Formal Charge(s)/Description:	1 COUNT TO FOLLOWING TOO CLOSE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Charge(s) 3 of 3	
Formal Charge(s)/Description:	1 COUNT MISCONDUCT WITH A MOTOR VEHICLE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	02/12/2009
Disposition Date:	01/12/2009
Sentence/Penalty:	01/12/2009: 01/27/2009: NO FINE: 15 DAYS INCARCERATION/ 2 YRS PROBABTION
Broker Statement	MR. FLYNN WAS DRIVING HIS VEHICLE OVER THE POSTED SPEED LIMIT. THE SPEED LIMIT DROPPED PRECIPITOUSLY UPON ENTERING THE CITY LIMITS AND HE HIT AN AUTOMOBILE THAT HAD RUN OUT OF GAS IN THE MIDDLE LANES. AN ACCIDENT OCCURED, RESULTING IN THE DEATH OF THE OCCUPANT OF THE OTHER VEHICLE. AFTER REVIEW BY THE STATE OF ALL THE EVIDENCE, THE CHARGES WERE SUBSTITUTED WITH MISDEMEANOR CHARGES. CURRENT STATUS: NEXT COURT DATE IS SCHEDULED FOR 1/16/2009 FOR SENTENCING. ALL COURT DOCUMENTS RECEIVED, WILL BE FORWARDED TO FINRA AND THE STATE OF CT FOR REVIEW. DISPOSITION DETAILS LISTED ABOVE.

Disclosure 2 of 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	WESTFIELD COURT
Location of Court:	HAMPDEN COUNTY, MA
Docket/Case #:	8844 CR 2065
Charge Date:	10/18/1988
Charge(s) 1 of 1	

Formal Charge(s)/Description:	1 COUNT OF LARCENY BY CHECK
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/18/1989
Disposition Date:	12/18/1989
Sentence/Penalty:	RESTITUTION EQUAL TO THE AMOUNT OF THE NSF CHECK= $61.43, $25 IN COURT COSTS, PAID 12/18/1989, NO PROBABTION.
Broker Statement	THIS INCIDENT WAS NOT INVESTMENT RELATED. WAS A PARTNER IN A SMALL FAMILY CONTRACTING BUSINESS WITH FAMILY MEMBERS. I WAS UNAWARE AT THAT TIME THAT THE ACCOUNT HAS BEEN CLOSED AND TRANSFERRED THE BUSINESS CHECKING ACCOUNT TO ANOTHER BANK. SUBSEQUENTLY, A CHECK WAS WRITTEN TO PAY FOR MATERIALS NEEDED FROM THAT OLDER ACCOUNT. IT DID NOT CLEAR AND THE BUSINESS WHERE THE CHECK WAS WRITTEN TO MADE NO EFFORT TO CONTACT OUR FAMILY COMPANY TO RESOLVE THE DEBT. A SMALL CLAIMS CASE WAS FILED FOR THE AMOUNT OF THE NSF CHECK. AMOUNT WAS SETTLED IMMEDIATELY UPON DISCOVERY AND WAS DISPOSED AS NOT GUILTY BY THE COURT

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:	Firm
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES AGENT NEVER EXPLAINED THE SURRENDER CHARGE POLICY AT THE TIME THE 2001 VARIABLE LIFE INSURANCE POLICY WAS OPENED. DAMAGES ARE UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/13/2006
Complaint Pending?	No
Status:	Denied
Status Date:	04/20/2006
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES AGENT NEVER EXPLAINED THE SURRENDER CHARGE POLICY AT THE TIME THE 2001 VARIABLE LIFE INSURANCE POLICY WAS OPENED. DAMAGES ARE UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/13/2006
Complaint Pending?	No
Status:	Denied
Status Date:	04/20/2006
Settlement Amount:	

Individual Contribution Amount:

Broker Statement THE FIRM AXA ADVISORS FOUND NO BASIS TO THE CUSTOMER COMPLAINT. THE CLAIM IS UTTERLY WITHOUT MERIT, AND IS BELIED BY SUBSTANTIAL DOCUMENTATION SHOWING THAT I HAD ADVISED THE CLIENT OF THE SURRENDER CHARGE AND OTHER RELEVANT INFORMATION CONCERNING THE POLICY ON NUMEROUS OCCASIONS, BOTH VERBALLY AND IN WRITING. BECAUSE THE POLICY AT ISSUE WAS A NEW YORK REPLACEMENT POLICY, WE FOLLOWED A STRICT REGULATION 60 PROTOCOL. AT VARIOUS POINTS IN THE ENGAGEMENT, THE CLIENT ACKNOWLEDGED IN WRITING THAT HE WAS AWARE OF THE SURRENDER CHARGE. THERE IS SIMPLY NO BASIS FOR HIS COMPLAINT

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: CUSTOMER ALLEGES THAT HE HAS BEEN MISHANDLED, CHEATED AND DAMAGED FINANCIALLY. HE STATES THAT NEITHER MICHAEL ROBERTS OR I GAVE HIM COPIES OF THE FORMS AND GRAPHS WE USED TO ILLUSTRATE WHAT WAS BEING DONE. HE STATES HE HAD NO IDEA HIS OPPENHEIMER ACCOUNT WAS BEING CHANGED OR REPLACED. BELIEVES $15,000 FROM THAT ACCOUNT MAY HAVE DISAPPEARED.

Product Type: Mutual Fund(s)

Alleged Damages: $15,000.00

Customer Complaint Information

Date Complaint Received: 11/13/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/03/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement EQUITABLE FOUND NO BASIS TO THE CUSTOMER COMPLAINT. HOWEVER, BASED UPON A MISUNDERSTANDING, EQUITABLE OFFERED TO CANCEL AN IRA ACCOUNT AND RESTORE A VARIABLE ANNUITY CONTRACT AS A GOOD FAITH GESTURE.

End of Report

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