



IAPD Report

TIMOTHY KEVIN O'BRIEN

CRD# 5798481

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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

TIMOTHY KEVIN O'BRIEN (CRD# 5798481)

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 **05/22/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|---------------------------------|-----------|------------------|
| B | AUSDAL FINANCIAL PARTNERS, INC. | CRD# 7995 | 10/02/2024 |
| IA | AUSDAL FINANCIAL PARTNERS, INC. | CRD# 7995 | 10/02/2024 |

QUALIFICATIONS

This representative is currently registered in **1** 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 | INTERVEST INTERNATIONAL, INC. | 111516 | COLORADO SPRINGS, CO | 05/05/2015 - 03/19/2025 |
| B | INTERVEST INTERNATIONAL EQUITIES CORPORATION | 20289 | COLORADO SPRINGS, CO | 05/24/2012 - 02/14/2025 |

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 |



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 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 Principal | Approved | 10/02/2024 |
| B FINRA | General Securities Representative | Approved | 10/02/2024 |
| B FINRA | Invest. Co and Variable Contracts | Approved | 10/02/2024 |
| B FINRA | Municipal Securities Principal | Approved | 10/02/2024 |
| B FINRA | Municipal Securities Representative | Approved | 10/02/2024 |
| B FINRA | Operations Professional | Approved | 10/02/2024 |
| B FINRA | Registered Options Principal | Approved | 10/02/2024 |
| B California | Agent | Approved | 02/19/2025 |
| B Colorado | Agent | Approved | 10/02/2024 |
| IA Colorado | Investment Adviser Representative | Approved | 10/02/2024 |
| B Washington | Agent | Approved | 03/17/2026 |

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
2215 WIMBLETON CT
COLORADO SPRINGS, CO 80920






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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Registered Options Principal Examination (S4) | Series 4 | 03/08/2024 |
|  Municipal Securities Principal Examination (S53) | Series 53 | 12/05/2018 |
|  General Securities Principal Examination (S24) | Series 24 | 11/04/2015 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-------------|------------|
|  Operations Professional Examination (S99TO) | Series 99TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  Municipal Securities Representative Examination (S52) | Series 52 | 08/30/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 02/07/2015 |
|  Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 05/23/2012 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
|   Uniform Combined State Law Examination (S66) | Series 66 | 05/05/2015 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/29/2012 |



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 | 05/05/2015 - 03/19/2025 | INTERVEST INTERNATIONAL, INC. | CRD# 111516 | COLORADO SPRINGS, I |
| B | 05/24/2012 - 02/14/2025 | INTERVEST INTERNATIONAL EQUITIES CORPORATION | CRD# 20289 | COLORADO SPRINGS, I |

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 |
|-------------------|---------------------------------------|---------------------------|--------------------|-------------------------------------|
| 09/2024 - Present | AUSDAL FINANCIAL PARTNERS, INC | REGISTERED REPRESENTATIVE | Y | DAVENPORT, IA, United States |
| 02/2022 - 02/2025 | Intervest International Equities Corp | Chief Compliance Officer | Y | Colorado Springs, CO, United States |
| 02/2022 - 02/2025 | Intervest International Inc | Chief Compliance Officer | Y | Colorado Springs, CO, United States |
| 06/2010 - 02/2022 | INTERVEST INTERNATIONAL EQUITIES CORP | COMMISSIONS | Y | COLORADO SPRINGS, 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.

TK FINANCIAL SERVICES ; INVESTMENT RELATED; COLORADO SPRINGS, CO; DBA, OWNER; ACTIVITY BEGAN 09/2022 ; I DEVOTE APPX 10 HOURS TO THIS ACTIVITY WITH 4 OF THOSE HOURS DURING TRADING HOURS;



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 | 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: | INTERVEST INTERNATIONAL EQUITIES CORPORATION |
| Allegations: | Incorporation of Recitals and Regulatory Standards, Unauthorized Liquidation and Distribution of assets, Negligence, Breach of Fiduciary Duty, Supervisory Failures and Admissions, Breach of Contract. Allegations are related to the liquidation and distribution of assets from the client's account due to her reps email being compromised and distribution requests being submitted with signatures that appeared to be the from the client and the rep. Activity occurred in May 2024. |
| Product Type: | Other: Unauthorized liquidation of securities and subsequent distribution of assets |
| Alleged Damages: | \$124,692.25 |
| Is this an oral complaint? | No |
| Is this a written complaint? | No |
| Is this an arbitration/CFTC reparation or civil litigation? | Yes |
| Arbitration/Reparation forum or court name and location: | FINRA |
| Docket/Case #: | 26-00155 |
| Filing date of arbitration/CFTC reparation or civil litigation: | 01/21/2026 |

Customer Complaint Information



Date Complaint Received: 02/05/2026
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 04/27/2026

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 26-00155

Date Notice/Process Served: 02/05/2026

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/19/2026

Monetary Compensation Amount: \$107,121.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERVEST INTERNATIONAL EQUITIES CORPORATION

Allegations: Breach of fiduciary duty, negligence, breach of contract, negligent supervision, violation of applicable laws and industry rules; unsuitable recommendation

Product Type: Other: GWG L Bonds

Alleged Damages: \$220,000.00

Arbitration Information

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

Docket/Case #: 24-02112

Date Notice/Process Served: 10/10/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/25/2025

Monetary Compensation Amount: \$21,000.00



Individual Contribution Amount:

\$0.00

Broker Statement

I was erroneously named in this matter because of my position as the CCO at the time of the arbitration filing. However, I was not the CCO at the time the products were sold to the investors and I was not involved in the sale (or the approval of) these product to the investors. In belated recognition of these facts and given my complete lack of involvement, counsel for the investors voluntarily dismissed the claims against me with no monetary contribution on my part.



End of Report

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