



Benjamin T. Warwick

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Part 2B Brochure

This brochure supplement provides information about Benjamin T. Warwick that supplements our brochure. You should have received a copy of that brochure. Please contact Michael Franklin if you did not receive Tandem Financial, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Benjamin T. Warwick is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD# 1528739.

ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Benjamin T. Warwick

Year of Birth: 1962

Educational Background:

- MBA, University of North Carolina at Chapel Hill – Kenan-Flagler Business School, 1990
- BS, Chemical Engineering, University of Florida, 1986

Business Background:

- 2025 – Present, Tandem Financial, Investment Advisor Representative
- 2024 – Present, Advisors Preferred LLC, Senior Portfolio Manager
- 2020 – 2025, Aveo Capital Partners, Investment Advisor Representative
- 2017 – 2020, Fort Point Capital Partners LLC, Investment Advisor Representative
- 2010– 2012, Frontier Solutions, Registered Representative
- 2007 – 2023, Sovereign Private Equity Management, LLC, Managing Member

ITEM 3 – DISCIPLINARY INFORMATION

Benjamin T. Warwick has no history of any legal or disciplinary events that are deemed to be material to a client’s consideration of Benjamin T. Warwick to act as their investment adviser representative. FINRA’s BrokerCheck® is a resource available to review the disciplinary history of Benjamin T. Warwick. <https://brokercheck.finra.org/>

ITEM 5 – ADDITIONAL COMPENSATION

Benjamin T. Warwick is the owner of Quantitative Equity Strategies, LLC (“QES”), a business entity for tax purposes.

ITEM 6 – SUPERVISION

Michael Franklin is the Chief Compliance Officer of Tandem Financial. He supervises and oversees all activities conducted through the firm and maintains policies and procedures to guide his activities. Michael Franklin reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. Michael Franklin may be reached at 720-845-5700.