



IAPD Report

EDWARD MYLES LYNCH JR

CRD# 1058005

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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

EDWARD MYLES LYNCH JR (CRD# 1058005)

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 **10/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/20/2007
IA	LPL FINANCIAL LLC	CRD# 6413	09/26/2007
IA	WELLTH ADVISORY SERVICES, LLC	CRD# 330537	10/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	DIETZ & LYNCH CAPITAL	144184	NEWBURYPORT, MA	03/18/2008 - 12/31/2014
IA	P.L.A.N.	151072	BOSTON, MA	10/23/2009 - 12/02/2010
B	WACHOVIA SECURITIES, LLC	19616	NEWBURYPORT, MA	10/01/1999 - 09/26/2007

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	5



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

Employment 1 of 2

Firm Name: **WELLTH ADVISORY SERVICES, LLC**
Main Address: SHOREWOOD, IL
Firm ID#: 330537

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	10/15/2025
IA	Connecticut	Investment Adviser Representative	Approved	10/16/2025
IA	Florida	Investment Adviser Representative	Approved	12/12/2025
IA	Indiana	Investment Adviser Representative	Approved	10/15/2025
IA	New Jersey	Investment Adviser Representative	Approved	10/16/2025
IA	Ohio	Investment Adviser Representative	Approved	10/15/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	10/17/2025
IA	South Carolina	Investment Adviser Representative	Approved	12/23/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/17/2025
IA	Utah	Investment Adviser Representative	Approved	11/14/2025
IA	Vermont	Investment Adviser Representative	Approved	10/15/2025
IA	Wisconsin	Investment Adviser Representative	Approved	10/15/2025

Branch Office Locations



Qualifications

WELLTH ADVISORY SERVICES, LLC

28 Green Street
Newbury, MA 01951

Employment 2 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	09/20/2007
B California	Agent	Approved	02/13/2023
B Connecticut	Agent	Approved	09/20/2007
B Florida	Agent	Approved	09/21/2007
B Indiana	Agent	Approved	03/16/2009
B Maine	Agent	Approved	10/17/2007
B Maryland	Agent	Approved	09/20/2023
B Massachusetts	Agent	Approved	09/20/2007
IA Massachusetts	Investment Adviser Representative	Approved	09/26/2007
B Michigan	Agent	Approved	04/14/2025
B New Hampshire	Agent	Approved	09/20/2007
B New Mexico	Agent	Approved	08/22/2023
B New York	Agent	Approved	09/20/2007
B North Carolina	Agent	Approved	02/13/2023
B Ohio	Agent	Approved	02/11/2023



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	07/14/2023
B Oregon	Agent	Approved	05/09/2023
B Pennsylvania	Agent	Approved	02/13/2023
B Rhode Island	Agent	Approved	01/15/2015
B South Carolina	Agent	Approved	09/26/2007
B Tennessee	Agent	Approved	04/14/2025
B Texas	Agent	Approved	09/21/2007
IA Texas	Investment Adviser Representative	Restricted Approval	11/05/2007
B Utah	Agent	Approved	02/12/2024
B Virginia	Agent	Approved	09/20/2007
B Washington	Agent	Approved	09/21/2007
B Wisconsin	Agent	Approved	06/04/2024

Branch Office Locations

LPL FINANCIAL LLC
28 GREEN ST
NEWBURY, MA 01951

LPL FINANCIAL LLC
ORLEANS, MA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	07/17/1982
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/1992
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/1982
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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	03/18/2008 - 12/31/2014	DIETZ & LYNCH CAPITAL	CRD# 144184	NEWBURYPORT, MA
IA	10/23/2009 - 12/02/2010	P.L.A.N.	CRD# 151072	BOSTON, MA
B	10/01/1999 - 09/26/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	NEWBURYPORT, MA
IA	10/01/1999 - 09/26/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	NEWBURYPORT, MA
B	03/24/1999 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	02/16/1995 - 03/25/1999	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	01/11/1988 - 02/10/1995	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/25/1983 - 05/06/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	07/22/1982 - 04/18/1983	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
10/2025 - Present	Strategic Retirement Partners	Registered Representative	Y	Newbury, MA, United States
10/2025 - Present	WELLth Advisory Services, LLC	Investment Advisor Representative	Y	Newbury, MA, United States
09/2007 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NEWBURY, MA, 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) 07/27/2011: DLC GROUP - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - AT REPORTED BUSINESS LOCATION(S)
- 2) 10/22/2013: DIETZ & LYNCH CAPITAL - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - AT REPORTED BUSINESS LOCATION(S)



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	5

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 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ADVEST, INC.

Allegations: ALLEGED MR. LYNCH GAVE HER INCORRECT ADVICE REGARDING THE VESTING OF HER EMPLOYEES UNDER A PROFIT SHARING PLAN.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 03/03/2000

Complaint Pending? No

Status: Settled

Status Date: 07/11/2001

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ADVEST, INC.



Allegations: ALLEGED MR. LYNCH GAVE HER INCORRECT ADVICE REGARDING THE VESTING OF HER EMPLOYEES UNDER A PROFIT SHARING PLAN.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 03/03/2000

Complaint Pending? No

Status: Settled

Status Date: 07/11/2001

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT; SUITABILITY; OTHER

Product Type:

Alleged Damages: \$325,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-03113

Date Notice/Process Served: 08/19/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/25/1994

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CLIENTS ALLEGED DAMAGES OF \$325,000.00 FROM INVESTMENTS IN LIMITED PARTNERSHIPS AND PREFERRED STOCK. EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC. CLIENT IS MASSACHUSETTS RESIDENT

Product Type:

Alleged Damages: \$325,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/25/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 93-03113

Date Notice/Process Served: 08/19/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/25/1994

Monetary Compensation Amount: \$210,000.00

Individual Contribution Amount: \$0.00

Broker Statement

SETTLED FOR \$210,000.00 PAID BY PRUDENTIAL SECURITIES WITHOUT PARTICIPATION BY ME. SETTLEMENT BY P.SI. WAS MADE WITHOUT MY PARTICIPATION. THE BASIS FOR THE SETTLEMENT AS I UNDERSTANT IT, WAS PRODUCT FAILURE IN THE AREA OF LIMITED PARTNERSHIPS AND LOSSES IN THE PREFERRED STOCK OF FIRST EXECUTIVE CORPORATION WHICH HAS BECOME THE OBJECT OF VARIOUS ACTIONS ALLEGING FRAUD AND OTHER CLAIMS ON THE PART OF FIRM'S EXEC'S OFFICERS, DIRECTORS AND MANAGEMENT. AS TO THE CHARGE OF MISREPRESENTATION AND UNSUITABILITY THE CLIENTS WERE INFORMED AND FINANCIALLY SUITABLE FOR THE INVESTMENTS. ALL INVESTMENTS RECOMMENDATIONS WERE DISCUSSED IN DETAIL W/CLIENT.

Disclosure 3 of 5

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE UNAUTHORIZED AND UNSUITABLE TRADING AND PURCHASE OF LIMITED PARTNERSHIPS CAUSING DAMAGES IN EXCESS OF \$100,000.00 EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC (PSI)

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/02/1992

Complaint Pending? No

Status: Settled

Status Date: 09/01/1992

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement P.S.I. PAID THE CROWELL'S \$20,000.00 WITHOUT ASKING OR REQUIRING ME TO PARTICIPATE. CUSTOMER ALLEGATIONS ARE BASELESS. I HAVE PROVIDED P.S.I. LEGAL DEPARTMENT WITH CORRESPONDENCE AND DOCUMENTS FROM THE CLIENT ON HIS BUSINESS STATIONARY AND BEARING HIS SIGNATURE WHICH RELATES EVERY CHANGE TO (1) TRANSACTION AUTHORIZATION, (2) SUITABILITY, OR PURCHASES, (3) BEGINNING VALUE OF ACCOUNT (4) VALUE OF ACCOUNT TO DATE OF SETTLEMENT. P.S.I. SETTLEMENT WAS MADE WITHOUT MY AGREEMENT, CONSENT, OR PARTICIPATION.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CUSTOMER ALLEGED LOSSES OF \$49,000 DUE TO UNSUITABLE PURCHASE OF LIMITED PARTNERSHIP MUTUAL FUNDS, UNAUTHORIZED TRADING OF STOCK AND MUTUAL FUNDS. EMPLOYING FIRM: PRUDENTIAL SECURITIES, INC. (PSI)

Product Type:

Alleged Damages: \$49,000.00

Customer Complaint Information

Date Complaint Received: 11/20/1991

Complaint Pending? No

Status: Settled



Status Date: 06/01/1992

Settlement Amount: \$11,000.00

Individual Contribution Amount: \$0.00

Broker Statement P.S.I. AGREED TO PAY [CUSTOMER] \$11,000.00 WITHOUT ASKING OR REQUIRING MY PARTICIPATION. CUSTOMER ALLEGATIONS ARE WITHOUT MERIT. ALL INVESTMENT RECOMMENDATIONS WERE MADE WITH INSTIGATION OF CUSTOMER (SHE CONTACTED ME WITH REQUESTS TO INCREASE HER INVESTMENT INCOME). 2. WITH CUSTOMER'S FULL UNDERSTANDING OF RISKS AND 3. REGARDING ACTION TAKEN; WITH CUSTOMER'S FULL CONSENT. SETTLEMENT WITH CUSTOMER WAS IN MY OPINION, UNWARRANTED AND UNJUSTIFIABLE. CUSTOMER DOES NOT DESERVE TO RECEIVE CONSIDERATION. SETTLEMENT WITH P.S.I. WAS MADE WITHOUT MY AGREEMENT, CONSENT OR PARTICIPATION.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: E.F. HUTTON

Allegations: CLIENT COMPLAINED HE INCURRED LOSSES IN EXCESS OF \$20,000 ON SALES AND STOCK TRADING, WHICH HE REGARDED AS EXCESSIVE. EMPLOYING FIRM: E.F. HUTTON

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/20/1987

Complaint Pending? No

Status: Settled

Status Date: 08/01/1987

Settlement Amount: \$16,000.00

Individual Contribution Amount:

Broker Statement SETTLEMENT OF \$16,000.00 [CUSTOMER] IS A BUSINESSMAN WHO ENGAGED IN INDEX OPTION TRADING AND WAS SUITABLE FOR SUCH A SPECULATIVE ACTIVITY. ALL APPROPRIATE DOCUMENTATION WAS IN ORDER, INCLUDING OPTION DISCLOSURE DOCUMENT, OPTION TRADING PAPERS, LIMITED POWER OF ATTORNEY FORMS. THE CLIENT HAD AN ADEQUATE UNDERSTANDING OF THE RISKS INVOLVED.



End of Report

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