IAPD Report

Dennis J Harp

CRD# 1184266

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Dennis J Harp (CRD# 1184266)

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 **04/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/11/2023
IA	LPL FINANCIAL LLC	CRD# 6413	02/07/2024

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	STRATOS WEALTH PARTNERS, LTD	153184	Broadview Heights, OH	07/11/2023 - 03/21/2024
B	EDWARD JONES	250	NORTH RIDGEVILLE, OH	02/03/2017 - 06/03/2023
IA	EDWARD JONES	250	NORTH RIDGEVILLE, OH	02/03/2017 - 06/03/2023

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
Termination	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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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	07/11/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	07/11/2023
B	California	Agent	Approved	07/12/2023
B	Florida	Agent	Approved	07/12/2023
B	Ohio	Agent	Approved	07/11/2023
IA	Ohio	Investment Adviser Representative	Approved	02/07/2024

Branch Office Locations

LPL FINANCIAL LLC
21800 LORAIN RD
FAIRVIEW PARK, OH 44126

LPL FINANCIAL LLC
SHEFFIELD VILLAGE, OH

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 1 state securities law exam.

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	01/20/2005
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/09/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/19/2001

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
IA	07/11/2023 - 03/21/2024	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	Broadview Heights, OH
B	02/03/2017 - 06/03/2023	EDWARD JONES	CRD# 250	NORTH RIDGEVILLE, OI
IA	02/03/2017 - 06/03/2023	EDWARD JONES	CRD# 250	NORTH RIDGEVILLE, OI
IA	09/12/2011 - 03/02/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	BROADVIEW HEIGHTS,
B	08/30/2011 - 03/02/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	BROADVIEW HEIGHTS,
IA	11/29/2007 - 08/23/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
B	11/26/2007 - 08/23/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
B	10/19/2007 - 12/07/2007	ARBOR COURT CAPITAL, LLC	CRD# 143839	BROADVIEW HEIGHTS,
IA	12/09/2005 - 05/21/2007	METLIFE SECURITIES INC.	CRD# 14251	BROADVIEW HEIGHTS,
B	12/19/2003 - 05/21/2007	METLIFE SECURITIES INC.	CRD# 14251	BROADVIEW HEIGHTS,
B	12/19/2003 - 05/21/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	BROADVIEW HEIGHTS,
B	10/31/1995 - 01/13/2004	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE
B	02/22/1995 - 09/20/1995	NATIONWIDE ADVISORY SERVICES, INC.	CRD# 11173	COLUMBUS, OH
B	03/24/1994 - 11/30/1994	BUCKHEAD FINANCIAL CORPORATION	CRD# 18398	
B	05/10/1984 - 04/12/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

Registration & Employment History

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
07/2023 - Present	LPL FINANCIAL LLC	Registered Representative	Y	FAIRVIEW PARK, OH, United States
07/2023 - 02/2024	STRATOS WEALTH PARTNERS, LTD	INVESTMENT ADVISOR REPRESENTATIVE	Y	BROADVIEW HEIGHTS, OH, United States
02/2017 - 06/2023	Edward Jones	Financial Advisor	Y	Saint Louis, MO, United States
08/2011 - 02/2017	METLIFE SECURITIES INC	FSR	Y	BROADVIEW HEIGHTS, OH, 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) 06/2023 - Stratos Wealth Partners / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
2) 06/2023 - Notary / Investment Related / Start date 07/11/2023 - 1 Hrs per month
3) 07/19/2023 - Stratos Wealth Partners - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Advisor - Start Date 7/11/2023 - 160 Hours Per Month/ 8 Hours During Trading - I provide investment advisory services through Stratos Wealth Partners, an independent investment advisor firm. I started this business activity in 7/2023. I expect to spend approximately 160 hours per 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.
4) 02/05/2024 - TA-Check Financial, Ltd - Tax Prep/Accounting/CPA - Tax Preparation - Investment Related - At Reported Business Location(s) - Start Date 01/29/2024 - 75 Hours Per Month/ 0 Hours During Trading
5) 03/12/2026-DJ Retirement & Tax Planning-Insurance Agent-Non-Variable Insurance-Inv related-At Sheffield Village, OH-Start date 02/16/2026-7hrs/mth-2hrs/mth 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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MUTUAL OF OMAHA INVESTOR SERVICES
Allegations:	CUSTOMER IS ALLEGING THAT THE BENEFICIARY FORM COMPLETED FOR HER FIXED INSURANCE PRODUCT, SIGNED AND DATED 10/19/2002 WAS FORGED.
Product Type:	Insurance
Alleged Damages:	$1.00
Alleged Damages Amount Explanation (if amount not exact):	The alleged damages were not specified.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/16/2004
Complaint Pending?	No
Status:	Denied

Status Date: 03/09/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MUTUAL OF OMAHA INVESTOR SERVICES

Allegations: CUSTOMER IS ALLEGING THE BENEFICIARY FORM COMPLETED FOR HER FIXED INSURANCE PRODUCT, COMPLETED IN OCTOBER 2002, WAS FORGED. NO DAMAGES WERE SPECIFIED.

Product Type: Insurance

Alleged Damages: $1.00

Alleged Damages Amount Explanation (if amount not exact): The alleged damages were not specified.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/16/2004

Complaint Pending? No

Status: Denied

Status Date: 03/09/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement Allegations were false by client, no wrongdoing discovered by NASD and file closed. Original complaint was originally denied by MOIS on 03/09/2004 but never closed under their system. Complaint was just closed by MOIS as of 02/03/2016 after the status of open was brought to their attention.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: WITH REGARD TO THE 1990 PURCHASE OF TWO
VARIABLE APPRECIABLE LIFE (VAL) INSURANCE POLICIES THE INSUREDS ALLEGED "...WE WERE TOLD BY DENNIS HARP THAT THESE WERE PREPAID
POLICIES SIMILAR TO THE PRUCO POLICIES THAT WE HAD ...NOT AT

	ANYTIME WAS THERE REFERENCE TO PREMIUMS...WE WERE MISLED AND MISINFORMED TIME AND AGAIN BY DENNIS HARP..." NO MONETARY DAMAGES WERE ALLEGED.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	05/23/1994
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$53,190.06
Individual Contribution Amount:	
Firm Statement	THE COMPANY HONORED THE INSUREDS' REQUEST TO CANCEL THE VAL POLICIES AND RESTORE ALL AMOUNTS TO THE EXISTING POLICIES ($45,720.03) WITH ANY REMAINING FUNDS BEING RETURNED DIRECTLY TO THE INSUREDS ($7,470.04).. Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES/PRUDENTIAL INSURANCE
Allegations:	ALLEGED TO HAVE MISINFORMED AND MISLED THE CLIENTS INTO BELIEVING THAT THE VAL POLICIES THEY PURCHASED IN 1990 WOULD NOT REQUIRE ONGOING PREMIUM PAYMENTS. CUSTOMER COMPLAINT AND NO MONETARY DAMAGES ALLEGED.
Product Type:	Other
Alleged Damages:	$53,190.06

Customer Complaint Information

Date Complaint Received:	05/23/1994
Complaint Pending?	No
Status:	Settled
Status Date:	10/16/1995
Settlement Amount:	$53,190.06
Individual Contribution Amount:	$0.00
Broker Statement	THE COMPANY HONORED THE INSURED REQUEST AND CANCELLED THE POLICIES SOLD IN 1990 RESTORING ALL VALUES TO THE EXISTING CONTRACTS IN THE AMOUNT OF ($45,720.03) IN ADDITION THE REMAINING BALANCE OF ($7,470.04) WHICH REPRESENTED PREMIUMS PAID WERE RETURNED TO THE INSUREDS THE [CUSTOMERS] WERE NEVER TOLD THAT THE POLICIES PURCHASED IN 1990 WERE "PREPAID" OR WOULD NOT REQUIRE PREMIUM PAYMENTS.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	THE PRUDENTIAL INSURANCE COMPANY
Termination Type:	Permitted to Resign
Termination Date:	02/25/1994
Allegations:	PERMITTED TO RESIGN
Product Type:	No Product
Other Product Types:	
Broker Statement	N/A NASD FOUND NO ACTION WARRANTED I SUBMITTED A LETTER OF RESIGNATION TO MY EMPLOYER DATED 2/11/94 WHICH THEY ACCEPTED AND ACKNOWLEDGED ON MARCH 15, 1994. I RECEIVED A COPY OF MY U-5 ON APPROX. 4/15/94 AND DISCOVERED MY EMPLOYERS FRAUDULENT REMARKS IN SECTION #12. PLEASE SEE ATTACHED CORRESPONDENCE WHICH SUPPORTS THE FACT THAT I RESIGNED AND NOT UNDER OR IN LIEU OF TERMINATION.

End of Report

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