



## IAPD Report

# JAMES EDWARD BOYD

CRD# 1605651

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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

### JAMES EDWARD BOYD (CRD# 1605651)

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 **10/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
<b>IA</b>	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	12/20/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>IA</b>	LPL FINANCIAL LLC	6413	FORT MILL, SC	11/29/2017 - 12/21/2023
<b>IA</b>	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	LOS ANGELES, CA	01/07/2009 - 12/01/2017
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA	01/05/2000 - 11/29/2017

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	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 **19** 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>B</b>	FINRA	General Securities Principal	Approved	11/29/2017
<b>B</b>	FINRA	General Securities Representative	Approved	11/29/2017
<b>B</b>	Arizona	Agent	Approved	11/29/2017
<b>B</b>	California	Agent	Approved	11/29/2017
<b>B</b>	Colorado	Agent	Approved	11/29/2017
<b>B</b>	Florida	Agent	Approved	11/30/2017
<b>B</b>	Georgia	Agent	Approved	11/29/2017
<b>B</b>	Illinois	Agent	Approved	11/29/2017
<b>B</b>	Iowa	Agent	Approved	11/29/2017
<b>B</b>	Michigan	Agent	Approved	05/02/2025
<b>B</b>	Montana	Agent	Approved	11/29/2017
<b>B</b>	Nebraska	Agent	Approved	04/15/2020
<b>B</b>	Nevada	Agent	Approved	11/29/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	11/29/2017
<b>B</b> Oregon	Agent	Approved	11/29/2017
<b>B</b> Pennsylvania	Agent	Approved	10/23/2018
<b>B</b> South Dakota	Agent	Approved	04/19/2018
<b>B</b> Tennessee	Agent	Approved	10/13/2023
<b>B</b> Texas	Agent	Approved	09/11/2019
<b>B</b> Virginia	Agent	Approved	11/29/2017
<b>B</b> Washington	Agent	Approved	11/29/2017

### Branch Office Locations

**LPL FINANCIAL LLC**  
 2800 28TH ST., STE 306  
 SANTA MONICA, CA 90405

### Employment 2 of 2

Firm Name: **STRATOS WEALTH PARTNERS, LTD**  
 Main Address: 3750 PARK EAST DR  
 STE 200  
 BEACHWOOD, OH 44122  
 Firm ID#: 153184

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	12/22/2022
<b>IA</b> Oregon	Investment Adviser Representative	Approved	12/20/2022
<b>IA</b> Texas	Investment Adviser Representative	Approved	12/20/2022

### Branch Office Locations

**STRATOS WEALTH PARTNERS, LTD**



## Qualifications

2800 28th St, Suite #306  
Santa Monica, CA 90405



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/02/2000

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/21/1987
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/12/1987

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/09/1990

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	11/29/2017 - 12/21/2023	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	01/07/2009 - 12/01/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	LOS ANGELES, CA
B	01/05/2000 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	11/19/1989 - 01/12/2000	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	11/14/1988 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	02/17/1987 - 10/24/1988	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	CRD# 4882	

### 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
12/2022 - Present	Stratos Wealth Partners, Ltd.	Investment Advisory Representative	Y	LOS ANGELES, CA, United States
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, United States
04/1984 - Present	BOYD FINANCIAL PLANNING	OWNER/ENROLLED AGENT/CFP/AIF	N	LOS ANGELES, CA, United States
01/2000 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, 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. 11/29/2017- No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent(Term Life Insurance or Second-To-Die Insurance).
2. 11/29/2017 - SASSY COUTURE - Not Investment Related - 4139 VIA MARINA #1204 MARINA DEL REY CA 90292 - Other - prepares tax returns.
3. 9/25/2018 - No Business Name - Investment Related - SNOWMASS, COLORADO 81615 - Real Estate Rental - OWNER -



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Start Date: 03/08/2011 - 1 Hour Per Month/0 Hours During Securities Trading.

4. 9/28/2018 - BOYD FINANCIAL PLANNING - Investment Related - At Reported Business Location(s) - Tax Prep/Accounting/CPA - OWNER/ENROLLED AGENT/CFP/AIF - Start Date: 10/15/1984 - 25 Hours Per Month/0 Hours During Securities Trading - Tax Preparation.

5. 12/7/2022 - Stratos Wealth Partners - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 12/15/2022 - 160 Hours Per Month/8 Hours During Securities Trading

6. 12/28/2022 - Stratos Wealth Partners, LTD - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date - 12/15/2022 - 160 Hours Per Month/8 Hours During Securities Trading - I provide investment advisory services through Stratos Wealth Partners, LTD, an independent investment advisor firm. I started this business activity in 12/2022. 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.

7. 11/29/2017 - LPL Financial, LLC (Registered Representative) - Investment Related - At Reported Business Location (s) - 100% time spent between LPL Financial, LLC and Stratos Wealth Partners, Ltd.



## 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
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Criminal	1
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### 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 1

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	BALTIMORE COUNTY, MARYLAND
<b>Charge Date:</b>	11/01/1964
<b>Charge Details:</b>	HOUSEBREAKING
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	02/01/1965
<b>Disposition Details:</b>	BOYD WAS PLACED ON PROBATION BEFORE VERDICT FOR THE TERM OF TWO YEARS

**Broker Statement**

IN NOVEMBER 1964, IN BALTIMORE COUNTY, MARYLAND, BOYD WAS ARRESTED AND CHARGED WITH HOUSE BREAKING. ON 1/22/65, BOYD PLEAD NOT GUILTY TO THE CHARGE. HE WAS COMMITTED TO THE COUNTY JAIL FOR TWO DAYS. ON 2/1/65, BOYD WAS PLACED ON PROBATION BEFORE VERDICT FOR THE TERM OF TWO YEARS. ON 2/2/65, ORDER OF COURT REFUNDING CASH BAIL OF \$1,500.



## End of Report

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