IAPD Report

Dale Matthew Puruczky

CRD# 2211253

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

Dale Matthew Puruczky (CRD# 2211253)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/30/2004
IA	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	05/04/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	LPL FINANCIAL LLC	6413	BEACHWOOD, OH	05/03/2004 - 01/27/2016
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	CLEVELAND, OH	06/12/2001 - 05/21/2004
B	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	04/09/2001 - 05/21/2004

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	3

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 **9** 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	FINRA	General Securities Representative	Approved	04/30/2004
B	FINRA	General Securities Principal	Approved	01/24/2007
B	Arkansas	Agent	Approved	10/06/2023
B	Florida	Agent	Approved	03/16/2018
B	Idaho	Agent	Approved	07/24/2017
B	Illinois	Agent	Approved	12/04/2023
B	Minnesota	Agent	Approved	08/29/2016
B	Ohio	Agent	Approved	05/03/2004
B	Pennsylvania	Agent	Approved	12/13/2023
B	Texas	Agent	Approved	08/08/2014
B	Virginia	Agent	Approved	05/18/2021

Branch Office Locations

LPL FINANCIAL LLC
25201 CHAGRIN BLVD., STE 375
BEACHWOOD, OH 44122

Qualifications

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
IA	Ohio	Investment Adviser Representative	Approved	05/04/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	10/03/2014

Branch Office Locations

STRATOS WEALTH PARTNERS, LTD
25201 Chagrin Blvd., Suite 375
Beachwood, OH 44122

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/27/2004

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	03/02/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/26/1994

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	05/03/2004 - 01/27/2016	LPL FINANCIAL LLC	CRD# 6413	BEACHWOOD, OH
IA	06/12/2001 - 05/21/2004	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	CLEVELAND, OH
B	04/09/2001 - 05/21/2004	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	11/02/1998 - 05/29/2001	FIFTH THIRD SECURITIES, INC.	CRD# 628	CINCINNATI, OH
B	05/09/1996 - 10/22/1998	FIFTH THIRD SECURITIES, INC.	CRD# 3155	CINCINNATI, OH
B	11/17/1995 - 05/13/1996	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	04/15/1994 - 11/28/1995	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	07/31/1993 - 04/14/1994	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	10/08/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	03/04/1992 - 08/28/1992	BEACHWOOD INVESTMENTS, INC.	CRD# 7507	BEACHWOOD, OH

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
05/2012 - Present	STRATOS WEALTH PARTNERS, LTD	INVESTMENT ADVISER REPRESENTATIVE	Y	BEACHWOOD, OH, United States
04/2004 - Present	LPL Financial, LLC (Formerly: LINSCO/PRIVATE LEDGER CORP.)	Registered Representative	Y	BEACHWOOD, 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. 4/30/2004 - LPL Financial, LLC (Registered Representative) - Investment Related - At Reported Business Location (s) - 100%

Registration & Employment History

OTHER BUSINESS ACTIVITIES

time spent between LPL Financial, LLC and Stratos Wealth Partners, Ltd.

2. 7/21/2004 - PURUCZKY WEALTH MANAGEMENT, LLC - Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - FOR ACCOUNTING PURPOSES ONLY.

3. 2/29/2008 - No Business Name - Investment Related - At Reported Business Location(s) - NON-VARIABLE INSURANCE - Time Spent 3% - LIFE, HEALTH, DISABILITY, LONG-TERM CARE, FIXED ANNUITIES.

4. 5/7/2012 - Stratos Wealth Partners, Ltd - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date: 4/2012 - Time Spent 100% - I provide investment advisory services through Stratos Wealth Partners LTD, an independent investment advisor firm. I started this business activity in 4/2012. 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.

5. 10/29/2012 - Olympus Private Wealth Advisors - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - TIME SPENT 100%.

6. 03/27/2026-Olympus Private Wealth Advisors-Founding Partners & Private Wealth Advisor-DBA for LPL Business (entity for LPL business)-Inv related-At reported business location(s)-Start date 04/01/2026-160hrs/mth-160hrs/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*.
  - 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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL
Allegations:	CUSTOMER ALLEGED THAT VARIABLE ANNUITY PURCHASED IN MAY 2007 WAS MISREPRESENTED AND UNSUITABLE
Product Type:	Annuity-Variable
Alleged Damages:	$37,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-04993
Filing date of arbitration/CFTC reparation or civil litigation:	09/01/2009

Customer Complaint Information

Date Complaint Received:	09/04/2009
Complaint Pending?	No

Status:	Settled
Status Date:	07/29/2010
Settlement Amount:	$14,950.00
Individual Contribution Amount:	$5,000.00
Broker Statement	09/02/08 WAS THE DATE THE ORIGINAL CUSTOMER COMPLAINT WAS DENIED BUT ON 9/4/09 LPL RECIEVED NOTICE OF THE ARBITRATION.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	SUITABILITY - CLIENT HAD POLICY THAT RECENTLY LAPSED. CLIENT ALSO ALLEGES POLICY WAS UNSUITABLE. ACTIVITY DATES ARE 11/12/02 THRU 3/26/07. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN ACCESS OF $5,000.
Product Type:	Insurance
Other Product Type(s):	(NO ANNUITY)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	05/01/2007
Complaint Pending?	No
Status:	Denied
Status Date:	08/07/2007
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	SUITABILITY - CLIENT HAD POLICY THAT RECENTLY LAPSED. CLIENT ALSO ALLEGES POLICY WAS UNSUITABLE. ACTIVITY DATES ARE 11/12/02 THRU 03/26/07. NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN ACCESS OF $5,000.
Product Type:	Insurance
Other Product Type(s):	(NO ANNUITY)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	05/01/2007

Complaint Pending? No

Status: Denied

Status Date: 08/07/2007

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES

Allegations: CLAIMANT PLACED A LIMIT ORDER AND CHANGED THE ORDER APPROXIMATELY ONE MINUTE LATER. THE ORIGINAL ORDER HAD ALREADY EXECUTED; THE CHANGE WAS NOT ACCEPTED. CONFIRMATION OF THE ORDER WAS NOT IMMEDIATELY AVAILABLE. CLIENT ALLEGES THAT REP'S STATEMENT THAT ORIGINAL ORDER HAD NOT EXECUTED PRIOR TO THE FIRST CHANGE WAS NEGLIGENT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $373,940.00

Customer Complaint Information

Date Complaint Received: 06/05/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/05/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR#00-02400

Date Notice/Process Served: 06/05/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/28/2001

Monetary Compensation Amount: $90,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	1) FEDERAL SECURITIES FRAUD, 2) VIOLATION OF ANTI-FRAUD PROVISION UNDER THE OHIO SECURITIES ACT, 3)BREACH OF FIDUCIARY DUTY, 4) BREACH OF CONTRACT. ON 3/4/00][CUSTOMER]CONTACTED DALE PURUCZKY & SOUGHT TO PURCHASE 100 SHARES OF ARIBA INC. AT A LIMIT PRICE OF 315 A SHARE. TRADE WAS EXECUTED WITHIN MINUTES, BUT DIDN'T REPORT BACK TO DALE PURUCZKY 'TIL AFTER 11:00AM THAT DAY. BEFORE TRADER REPORTED BACK, [CUSTOMER] CANCELED TRADE. LATER THAT DAY, [CUSTOMER] WAS TOLD TRADE DID EXECUTE. [CUSTOMER] DIDN'T WANT TO TAKE POSSESSION OF TRADE.
Product Type:	Equity - OTC
Alleged Damages:	$373,940.00

Customer Complaint Information

Date Complaint Received:	06/05/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/05/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE #00-02400
Date Notice/Process Served:	06/05/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/28/2001
Monetary Compensation Amount:	$90,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IT IS CORRECT THAT ON 3/14/00 CLIENT CONTACTED ME TO PURCHASSE 1000 SHARES OF ARIBE, INC. (NOT 100 SHARES AS DESCRIBED IN SECTION 4) AT A LIMIT PRICE OF 315 A SHARE. TRADE WAS EXECUTED WITHIN MINUTES, BUT BECAUSE (IN MY OPINION)OF A TECHNICAL ERROR IN THE TRADING SYSTEM, THE TRADE DIDN'T REPORT BACK TO BROKER UNTIL AFTER 11:00 AM THAT DAY. BEFORE TRADE REPORTED BACK, CLIENT DID WANT TO CANCEL TRADE, BUT NEVER KNEW HE OWNED STOCK. 5/3 SECURITIES WAS ADAMANT THAT CLIENT DID OWN THE ARIBE STOCK SINCE HE PLACED A VERBAL UNSOLICITED ORDER. IT WAS EXPLAINED TO ME THAT 5/3 SECURITIES AND FISERVE SEC. WOULD SETTLE WITH THE CLIENT FOR DAMAGES AND I WAS NOT AT FAULT DO TO AN ERROR IN THEIR TRADING SYSTEM.

End of Report

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