



IAPD Report

CHARLES LEWIS SHAPIRO

CRD# 2564439

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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

CHARLES LEWIS SHAPIRO (CRD# 2564439)

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	LPL FINANCIAL LLC	CRD# 6413	08/16/2010
IA	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	10/19/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	IRVINE, CA	09/13/2013 - 09/25/2014
IA	LPL FINANCIAL CORPORATION	6413	IRVINE, CA	08/16/2010 - 12/02/2010
B	MORGAN STANLEY SMITH BARNEY	149777	LA JOLLA, CA	06/01/2009 - 09/09/2010

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



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

Employment 1 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	California	Investment Adviser Representative	Approved	10/19/2010
IA	Louisiana	Investment Adviser Representative	Approved	03/17/2016
IA	Nevada	Investment Adviser Representative	Approved	05/04/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	03/23/2016

Branch Office Locations

STRATOS WEALTH PARTNERS, LTD

12348 High Bluff Drive
Suite 240
San Diego, CA 92130

STRATOS WEALTH PARTNERS, LTD

32 EXECUTIVE PARK
SUITE 130
Irvine, CA 92614

STRATOS WEALTH PARTNERS, LTD

Incline Village, NV

STRATOS WEALTH PARTNERS, LTD

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

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	08/16/2010



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Sales Supervisor	Approved	08/16/2010
B	Alabama	Agent	Approved	08/26/2014
B	Alaska	Agent	Approved	07/24/2014
B	Arizona	Agent	Approved	11/30/2010
B	Arkansas	Agent	Approved	07/28/2014
B	California	Agent	Approved	08/16/2010
B	Colorado	Agent	Approved	09/01/2010
B	Connecticut	Agent	Approved	07/24/2014
B	Delaware	Agent	Approved	08/05/2014
B	District of Columbia	Agent	Approved	07/25/2014
B	Florida	Agent	Approved	09/07/2010
B	Georgia	Agent	Approved	07/24/2014
B	Hawaii	Agent	Approved	10/29/2014
B	Idaho	Agent	Approved	07/24/2014
B	Illinois	Agent	Approved	07/28/2014
B	Indiana	Agent	Approved	07/29/2014
B	Iowa	Agent	Approved	07/24/2014
B	Kansas	Agent	Approved	07/31/2014
B	Kentucky	Agent	Approved	07/28/2014



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	07/25/2014
B	Maine	Agent	Approved	07/25/2014
B	Maryland	Agent	Approved	07/25/2014
B	Massachusetts	Agent	Approved	07/25/2014
B	Michigan	Agent	Approved	07/25/2014
B	Minnesota	Agent	Approved	07/24/2014
B	Mississippi	Agent	Approved	07/30/2014
B	Missouri	Agent	Approved	07/24/2014
B	Montana	Agent	Approved	07/24/2014
B	Nebraska	Agent	Approved	07/28/2014
B	Nevada	Agent	Approved	07/29/2014
B	New Hampshire	Agent	Approved	07/24/2014
B	New Jersey	Agent	Approved	08/16/2010
B	New Mexico	Agent	Approved	07/24/2014
B	New York	Agent	Approved	07/24/2014
B	North Carolina	Agent	Approved	08/16/2010
B	North Dakota	Agent	Approved	07/28/2014
B	Ohio	Agent	Approved	07/25/2014
B	Oklahoma	Agent	Approved	07/24/2014



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	07/25/2014
B Pennsylvania	Agent	Approved	07/25/2014
B Rhode Island	Agent	Approved	07/24/2014
B South Carolina	Agent	Approved	07/25/2014
B South Dakota	Agent	Approved	07/24/2014
B Tennessee	Agent	Approved	02/01/2019
B Texas	Agent	Approved	08/04/2014
B Utah	Agent	Approved	01/06/2014
B Vermont	Agent	Approved	07/24/2014
B Virginia	Agent	Approved	08/16/2010
B Washington	Agent	Approved	09/22/2014
B West Virginia	Agent	Approved	07/31/2014
B Wisconsin	Agent	Approved	07/24/2014
B Wyoming	Agent	Approved	07/24/2014

Branch Office Locations

LPL FINANCIAL LLC
12348 HIGH BLUFF DRIVE STE 240
SAN DIEGO, CA 92130

LPL FINANCIAL LLC
9800 WILSHIRE BLVD
BEVERLY HILLS, CA 90212

LPL FINANCIAL LLC
INCLINE VILLAGE, NV



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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/18/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	04/11/2003
	General Securities Representative Examination (S7)	Series 7	12/05/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/09/1994
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1994

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	09/13/2013 - 09/25/2014	LPL FINANCIAL LLC	CRD# 6413	IRVINE, CA
IA	08/16/2010 - 12/02/2010	LPL FINANCIAL CORPORATION	CRD# 6413	IRVINE, CA
B	06/01/2009 - 09/09/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	LA JOLLA, CA
IA	06/01/2009 - 09/09/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	LA JOLLA, CA
IA	01/28/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LA JOLLA, CA
B	12/06/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LA JOLLA, CA

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
10/2010 - Present	Stratos Wealth Partners, Ltd	Investment Adviser Representative	Y	San Diego, CA, United States
08/2010 - Present	LPL Financial, LLC	Registered Representative	Y	San Diego, 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. 8/16/2010 - LPL Financial, LLC (Registered Representative) - Investment Related - At Reported Business Location (s) - 100% time spent between LPL Financial, LLC and Stratos Wealth Partners, Ltd.

2. 1/18/2011: - NON-VARIABLE INSURANCE DBA - STRATOS WEALTH PARTNERS, LTD - USE STRATOS WEALTH PARTNERS, LTD, AS A DBA NAME FOR MY SECURITIES AND INVESTMENT ADVISORY & FINANCIAL PLANNING BUSINESS. I AM AN AGENT LICENSED W/VARIOUS CARRIERS FOR SALE AND SERVICE OF FIXED INSURANCE. - 10% OF TIME SPENT.

3. 1/18/2011 - Stratos Wealth Partners, Ltd - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date: 8/2010 - Time Spent 50% - I provide investment advisory services through Stratos Wealth Partners LTD, an independent investment advisor firm. I started this business activity in 8/2010. 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



Registration & Employment History



OTHER BUSINESS ACTIVITIES

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. 03/19/2015 - STRATOS CALIFORNIA - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - TIME SPENT 1 HOUR PER MONTH - SAN DIEGO, CA.

5. 8/11/2017 - Stratos Wealth Partners, Ltd - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 08/16/2010 - 80 Hours Per Month During Securities Trading.

6. 10/17/2017 - BGA Insurance - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 08/31/2017 - 2 Hours Per Month During Securities Trading.

7. 10/28/2019 - Rooted Advisory Group LLC - Investment related - At reported business location(s) - DBA for LPL Business (entity for LPL business) - start date:10/25/2019 - 5 hrs/mo - 0 hrs during trading.

8. 6/11/2020 - ANDERSON WEALTH MANAGEMENT GROUP - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 06/10/2020 - 20 Hours Per Month During Securities Trading.

9. 6/15/2020 - Crossroad Capital, LLC - Not Investment Related - Home Based - Other-for accounting purposes and personally own - Started 05/01/2020 - 2 Hours Per Month/1 Hour During Securities Trading.

10. 6/29/2020 - ANDERSON FINANCIAL MANAGEMENT GROUP - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 06/10/2020 - 10 Hours Per Month During Securities Trading.

10. 7/1/2020 - Stratos Wealth Partners, LTD - DBA: (Hybrid) Anderson Financial Management Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Started 06/10/2020 - 10 Hours Per Month During Securities Trading.

11. 01/12/2022 - Dixon Wells - Investment Related - 5775 Perimeter Dr Suite #140, Dublin, OH 43017 - Non-Variable Insurance - Agent - Start Date: 01/01/2022 - 2 Hours Per Month/1 Hour During Securities Trading.

12. 11/04/2022 - Stratos CA - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 10/17/2022 - 40 Hours Per Month/2 Hours During Securities 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	2

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:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS
Allegations:	CUSTOMERS ALLEGE, INTER ALIA, THAT BETWEEN THE PERIOD OF 1/31/2008 TO 5/31/2008 FA RECOMMENDED INVESTMENTS THAT WERE NOT IN LINE WITH THEIR INVESTMENT OBJECTIVES.
Product Type:	Equity Listed (Common & Preferred Stock) Other: AIG, CITIGROUP, WACHOVIA, BARCLAYS, FANNIE MAE.
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	UNDETERMINED, ESTIMATED TO BE \$5,000 OR MORE.
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 #:	09-02606
Filing date of arbitration/CFTC reparation or civil litigation:	06/02/2009



Customer Complaint Information

Date Complaint Received: 06/02/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/02/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-02606

Date Notice/Process Served: 06/02/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/16/2010

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: THE CLIENT ALLEGED UNSUITABILITY WITH RESPECT TO INVESTMENTS - 01/2008 - 06/2008. DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

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: 10/06/2008

Complaint Pending? No

Status: Denied

Status Date: 02/05/2009



Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



End of Report

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