



IAPD Report

PATRICK ARTHUR STRUBBE

CRD# 2845724

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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

PATRICK ARTHUR STRUBBE (CRD# 2845724)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ARKADIOS WEALTH ADVISORS	CRD# 288863	08/10/2022
B	ARKADIOS CAPITAL	CRD# 282710	08/11/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	KALOS CAPITAL, INC.	44337	COLUMBIA, SC	10/25/2005 - 09/30/2022
IA	KALOS MANAGEMENT	133025	Columbia, SC	10/25/2005 - 09/30/2022
B	HORNOR, TOWNSEND & KENT, INC.	4031	CONSHOHOCKEN, PA	02/04/2003 - 10/10/2005

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

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**
Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Firm ID#: 282710

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/11/2022
B	FINRA	General Securities Representative	Approved	08/11/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	08/11/2022
B	Arizona	Agent	Approved	08/11/2022
B	California	Agent	Approved	08/11/2022
B	Colorado	Agent	Approved	09/07/2022
B	Connecticut	Agent	Approved	08/11/2022
B	District of Columbia	Agent	Approved	08/11/2022
B	Florida	Agent	Approved	08/11/2022
B	Georgia	Agent	Approved	08/11/2022
B	Indiana	Agent	Approved	08/12/2022
B	Michigan	Agent	Approved	08/11/2022
B	North Carolina	Agent	Approved	10/05/2022



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	08/11/2022
B South Dakota	Agent	Approved	08/11/2022
B Texas	Agent	Approved	09/09/2022
B Wisconsin	Agent	Approved	08/25/2022

Branch Office Locations

700 Saturn Parkway
Columbia, SC 29212

Employment 2 of 2

Firm Name: **ARKADIOS WEALTH ADVISORS**
 Main Address: 2827 PEACHTREE RD NE, SUITE 510
 ATLANTA, GA 30305
 Firm ID#: 288863

Regulator	Registration	Status	Date
IA South Carolina	Investment Adviser Representative	Approved	08/10/2022

Branch Office Locations

ARKADIOS WEALTH ADVISORS
 700 Saturn Parkway
 Columbia, SC 29212




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 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/22/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/12/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/05/1997

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/02/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1997

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
B	10/25/2005 - 09/30/2022	KALOS CAPITAL, INC.	CRD# 44337	COLUMBIA, SC
IA	10/25/2005 - 09/30/2022	KALOS MANAGEMENT	CRD# 133025	Columbia, SC
B	02/04/2003 - 10/10/2005	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CONSHOHOCKEN, PA
B	09/18/2002 - 01/14/2003	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	ELMHURST, IL
B	02/11/2002 - 10/18/2002	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CONSHOHOCKEN, PA
B	04/20/2000 - 02/12/2002	USALLIANZ SECURITIES, INC.	CRD# 40875	MINNEAPOLIS, MN
B	12/21/1999 - 04/27/2000	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	02/06/1997 - 12/20/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	02/06/1997 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
08/2022 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
10/2004 - Present	PRESERVATION SPECIALISTS, LLC	OWNER/FINANCIAL CONSULTANT	Y	COLUMBIA, SC, United States
10/2005 - 08/2022	KALOS CAPITAL, INC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
10/2005 - 08/2022	KALOS MANAGEMENT, INC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, 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. PRESERVATION SPECIALISTS LLC, NON-INVESTMENT RELATED, ADDRESS: 700 SATURN PARKWAY, COLUMBIA SC 29212, POSITION: OWNER NATURE: RECOMMEND INSURANCE PRODUCTS WITHIN THE RETIREMENT PLANNING FRAMEWORK AS OWNER OF PRESERVATION SPECIALISTS LLC ,NO NUMBER OF HOURS: 40 INVESTMENT RELATED HOURS: 30 START DATE: 10/11/2005, DESCRIPTION: AS THEIR FINANCIAL/RETIREMENT ADVISOR AND OWNER OF PRESERVATION SPECIALISTS LLC, I HELP SECURE THE BEST INSURANCE PRODUCT SUITED TO THE CLIENTS' NEED.
2. PRESERVATION SPECIALISTS LLC/BOOK AUTHOR, POSITION: AUTHOR NATURE: NON-INVESTMENT RELATED, ADDRESS: 700 SATURN PARKWAY, COLUMBIA SC 29212, AUTHOR OF BOOK ON RETIREMENT ISSUES, SAVE YOUR RETIREMENT FROM MASS DESTRUCTION BY THE 7 RETIRMENT VILLAINS, NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 01/10/2012, DESCRIPTION: I MOSTLY USE THE BOOK AS AN INFORMATIVE PIECE TO BE GIVEN OUT TO PROSPECTIVE CLIENTS.
3. HOPE LUTHERAN CHURCH, POSITION: Elder of Finance NATURE: Lutheran Church INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2015 ADDRESS: 1400 Kennerly Road, Irmo SC 29063, DESCRIPTION: participate in elder meetings and report to the congregation on the financial state of the church.
4. PRESERVATION SPECIALISTS, LLC (Seminars), Non-Investment related, ADDRESS: 700 Saturn Parkway, Columbia SC 29212, POSITION: Owner NATURE: Retirement class host and teacher: market, host and teach classes on retirement planning. Attendees pay a fee to attend and for course materials. NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 06/09/2017, DESCRIPTION: Invitations are mailed to the community offering the class for a fee. Attendees call our office to RSVP and mail us a check made out to Preservation Specialists, LLC. For class, we present with a powerpoint and take the attendees through the class and their booklets.
5. GSIS, LLC, Is Investment Related, Comprehensive financial planning, Owner, 6/3/2022,10 hours per month,0 hours per month during trading hours, Other Compensation, After taking on partners of Preservation Specialists, LLC, I created this entity to receive bonuses or profits that I am owed from Preservation Specialists, LLC and charge expenses to this LLC that apply to me but not to my other partners.
6. PB&J, LLC, Is Not Investment Related, Real Estate, Owner, 11/13/2019, 3 hours per month,0 hours per month during trading hours, Other Compensation, We purchased the building that our office is in, and it is owned by this entity. Revenue is generated through rental income, and I share in the profits if any.
7. Preservation Specialists, LLC, Is Not Investment Related, 700 Saturn Parkway, Columbia, SC, 29212, United States, Referral business, Managing Partner, 1/23/2026, 3 hours per month, 0 hours per month during trading hours, Commission Compensation, AE Medicare Solutions- our team offers Medicare guidance, education, and enrollment services to clients of our financial advisors. This protects your clients from seeking Medicare assistance elsewhere and being solicited for annuity, life, or wealth business by another firm. All of our MPP marketing materials are compliance-reviewed and include all necessary CMS disclosures.



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:	Kalos Capital, Inc.
Allegations:	Allegation unknown. Dissatisfied with account.
Product Type:	Other: Alternative Investments
Alleged Damages:	\$14,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/23/2020
Complaint Pending?	No
Status:	Settled
Status Date:	10/23/2020
Settlement Amount:	\$14,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES INC

Allegations: ALLEGATIONS OF FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, AND SUITABILITY IN THE RECOMMENDATION TO SELL VARIOUS SECURITIES IN ORDER TO FUND THE PURCHASE OF A CHARITABLE GIFT ANNUITY.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$240,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Arbitration/Reparation

Status Date: 12/16/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD
CASE # 05-05614

Date Notice/Process Served: 12/16/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/27/2006

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$50,000.00

Firm Statement CASE SETTLED FOR \$50,000 AND CASE DISMISSED BY ENCHEFF, WITH PREJUDICE.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: HORNOR, TOWNSEND & KENT

Allegations: ALLEGATIONS OF FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND SUITABILITY IN THE RECOMMENDATION TO SELL VARIOUS SECURITIES TO FUND THE PURCHASE OF A CHARITABLE GIFT ANNUITY

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$240,000.00



Customer Complaint Information

Date Complaint Received: 11/02/2005
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 12/16/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 05-05614

Date Notice/Process Served: 12/16/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/27/2006

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$50,000.00

Broker Statement CASE SETTLED FOR \$50,000 AND CASE DISMISSED BY ENCHEFF, WITH PREJUDICE.



End of Report

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