



IAPD Report

PHILIP ALAN GARRETT JR

CRD# 4357793

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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

PHILIP ALAN GARRETT JR (CRD# 4357793)

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 **09/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/03/2013
IA	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	04/09/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	METAIRIE, LA	04/25/2003 - 04/09/2013
B	PRUCO SECURITIES, LLC.	5685	METAIRIE, LA	05/25/2001 - 04/09/2013

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 7 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	04/03/2013
B FINRA	Invest. Co and Variable Contracts	Approved	04/03/2013
B Alabama	Agent	Approved	04/03/2013
B Georgia	Agent	Approved	10/18/2023
B Louisiana	Agent	Approved	04/03/2013
B Michigan	Agent	Approved	12/05/2019
B Mississippi	Agent	Approved	04/03/2013
B Nevada	Agent	Approved	07/12/2022
B Texas	Agent	Approved	04/03/2013

Branch Office Locations

LPL FINANCIAL LLC
3223 8TH ST, SUITE 203
METAIRIE, LA 70002

LPL FINANCIAL LLC
1201 S CARROLTON AVE
NEW ORLEANS, LA 70118

LPL FINANCIAL LLC
2550 FLORIDA ST
MANDEVILLE, LA 70448

LPL FINANCIAL LLC
2201 US HWY 190 NORTH
COVINGTON, LA 70433

LPL FINANCIAL LLC



Qualifications

5643 CORPORATE BLVD
BATON ROUGE, LA 70808

LPL FINANCIAL LLC
9099 JEFFERSON HWY
RIVER RIDGE, LA 70123

LPL FINANCIAL LLC
500 CM FAGAN DR
HAMMOND, LA 70403

LPL FINANCIAL LLC
1888 BELLE CHASSE HWY
GRETNA, LA 70056

LPL FINANCIAL LLC
3511 GENERAL DEGAULLE DR
NEW ORLEANS, LA 70114

LPL FINANCIAL LLC
6920 BLUEBONNET BLVD
BATON ROUGE, LA 70810

LPL FINANCIAL LLC
1811 METAIRIE AVE
METAIRIE, LA 70005

LPL FINANCIAL LLC
2727 PRYTANIA ST
NEW ORLEANS, LA 70130

LPL FINANCIAL LLC
5530 CROWDER BLVD
NEW ORLEANS, LA 70127

LPL FINANCIAL LLC
1901 GAUSE BLVD
SLIDELL, LA 70461

LPL FINANCIAL LLC
3720 WILLIAMS BLVD
KENNER, LA 70065

LPL FINANCIAL LLC
3829 VETERANS MEMORIAL BLVD
METAIRIE, LA 70002

LPL FINANCIAL LLC
1001 JULIA ST STE 112A
NEW ORLEANS, LA 70113

LPL FINANCIAL LLC
149 ROBERT E LEE BLVD
NEW ORLEANS, LA 70124

LPL FINANCIAL LLC
353 CARONDELET ST
NEW ORLEANS, LA 70130

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 Louisiana	Investment Adviser Representative	Approved	04/09/2013
IA Texas	Investment Adviser Representative	Restricted Approval	04/10/2013

Branch Office Locations

STRATOS WEALTH PARTNERS, LTD
3223 8TH STREET SUITE 203
METAIRIE, LA 70002

STRATOS WEALTH PARTNERS, LTD
3829 Veterans Blvd
Metairie, LA 70002



Qualifications

STRATOS WEALTH PARTNERS, LTD

1811 Metairie Ave
Metairie, LA 70005

STRATOS WEALTH PARTNERS, LTD

2727 Prytania St
New Orleans, LA 70130

STRATOS WEALTH PARTNERS, LTD

3511 General DeGaulle Dr
New Orleans, LA 70114

STRATOS WEALTH PARTNERS, LTD

353 Carondelet St
New Orleans, LA 70130

STRATOS WEALTH PARTNERS, LTD

5643 Corporate Blvd
Baton Rouge, LA 70808

STRATOS WEALTH PARTNERS, LTD

500 CM Fagan Dr
Hammond, LA 70403

STRATOS WEALTH PARTNERS, LTD

149 Robert E Lee Blvd
New Orleans, LA 70124

STRATOS WEALTH PARTNERS, LTD

1201 S Carrollton Ave
New Orleans, LA 70118

STRATOS WEALTH PARTNERS, LTD

1888 Belle Chasse Hwy
Gretna, LA 70056

STRATOS WEALTH PARTNERS, LTD

1901 Gause Blvd
Slidell, LA 70461

STRATOS WEALTH PARTNERS, LTD

1001 Julia St, Suite 112A
New Orleans, LA 70113

STRATOS WEALTH PARTNERS, LTD

9099 Jefferson Hwy
River Ridge, LA 70123

STRATOS WEALTH PARTNERS, LTD

6920 Bluebonnet Blvd
Baton Rouge, LA 70810

STRATOS WEALTH PARTNERS, LTD

2201 US Hwy 190 North
Covington, LA 70433

STRATOS WEALTH PARTNERS, LTD

3720 Williams Blvd
Kenner, LA 70065

STRATOS WEALTH PARTNERS, LTD

5530 Crowder Blvd
New Orleans, LA 70127

STRATOS WEALTH PARTNERS, LTD

2550 Florida St
Mandeville, LA 70448



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 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/26/2009
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/20/2001

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	02/18/2003
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/10/2001

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	04/25/2003 - 04/09/2013	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	METAIRIE, LA
B	05/25/2001 - 04/09/2013	PRUCO SECURITIES, LLC.	CRD# 5685	METAIRIE, LA

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
04/2013 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	METAIRIE, LA, United States
04/2013 - Present	STRATOS WEALTH PARTNERS, LTD	Investment Adviser Representative	Y	METAIRIE, LA, 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) 02/15/2013: Stratos Wealth Partners, Ltd - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - 100% Time Spent - Agent with various carriers
- (2) 02/15/2013: Stratos Wealth Partners, Ltd - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - 100% Time Spent
- (3) 02/15/2013: Sake LLC - Other - At Reported Business Location(s) - No Time Spent - Restaurant, investor only, no duties
- (4) 02/15/2013: 1114 Constance LLC - Real Estate Rental - Investment Related - At Reported Business Location(s) - No Time Spent - Own property purchased next to Sake LLC. An empty lot used as a bar/patio. Created the LLC to purchase property.
- (5) 4/3/2013 - LPL Financial, LLC (Registered Representative) - Investment Related - At Reported Business Location (s) - 100% time spent between LPL Financial, LLC and Stratos Wealth Partners, Ltd.
- (6) 4/29/2013 - Stratos Wealth Partners, Ltd - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date: 4/2013 - Time Spent 100% - I provide investment advisory services through Stratos Wealth Partners, Ltd, an independent investment advisor firm. I started this business activity in 4/2013. 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) 07/29/2013: Philip Garrett - Property and Casualty - Investment Related - At Reported Business Location(s) - 1% Time Spent
- (8) 02/17/2015: Stratos Wealth Partners of New Orleans LLC - Business Entity For Tax/Investment Purposes Only - Investment



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Related - 6050 General Diaz St New Orleans La 70124 - Start 01/01/2015 - 5 Hr/Mo; 0 Hour(s) During Securities Trading

(9) 10/16/2015: Conseillers LLC - Business Entity For Tax/Investment Purposes Only - Investment Related - 3223 8th Street Ste 203, Metairie, LA 70002 - Start 10/01/2015 - 1 Hr/Mo; 0 Hour(s) During Securities Trading

(10) 11/30/2015: CB Real Estate LLC - Business Owner - Investment Related - 501 S. Carrollton Ave, NOLA 70118 - Start 11/10/2015 - 1 Hr/Mo; 0 Hour(s) During Securities Trading - Commercial properties that are leased to businesses.

(11) 11/30/2015: Cooter Browns Inc. - Business Owner - Investment Related - 509 South Carrollton Ave NOLA 70118 - Start 11/10/2015 - No Time Spent - Member/Owner

(12) 08/24/2016: Advantage Network/Stratos WP of GNO Insurance, LLC - Non-Variable Insurance - Investment Related - 3223 8th Street Suite 203 Metairie La 70002 - Start 08/09/2016 - 1 Hr/Mo; 1 Hour(s) During Securities Trading - Life, Health, DI, LTC, Fixed Annuities

(13) 09/01/2016: Stratos WP of GNO Insurance, LLC - Non-Variable Insurance - Investment Related - 3223 8th Street Ste 203 Metairie La 70002 - Start 08/18/2016 - 1 Hr/Mo; 1 Hour(s) During Securities Trading

(14) 09/01/2016: Advantage Network - Non-Variable Insurance - Investment Related - 3223 8th Street Suite 203 Metairie La 70002 - Start 08/09/2016 - 1 Hr/Mo; 1 Hour(s) During Securities Trading - Life, Health, DI, LTC, Fixed Annuities.

(15) 2/6/2020 - Side Car Holdings, LLC - Not Investment Related - 1114 CONSTANCE ST. NEW ORLEANS, LA 70130 - Business Owner - Owner - Start Date: 12/1/19 - 0 Hours Per Month - Time Spent 0%.

(16) 2/6/2020 - Side Car Patio & Oyster Bar, LLC - Not Investment Related - 1114 CONSTANCE ST. NEW ORLEANS, LA 70130 - Business Owner - Owner - Start Date: 12/1/19 - 0 Hours Per Month - Time Spent 0%.



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

Reporting Source:	Individual
Court Details:	SIXTH JUDICIAL CIRCUIT COURT OF THE STATE OF ALABAMA TUSCALOOSA, AL CASE # DC97004519
Charge Date:	01/16/1997
Charge Details:	NEGOTIATING WORTHLESS INSTRUMENTS 12 COUNTS MISDEMEANOR GUILTY
Felony?	No
Current Status:	Final
Status Date:	01/25/2001
Disposition Details:	A. SATISFIED PER DA LETTER B. JAN 25, 2001 C. JAIL TIME D. 10 DAYS SUSPENDED E. JAN 17, 2001 TOTAL AMOUNT DUE FOR WORTHLESS CHECKS WAS RECEIVED BY THE DISTRICT ATTORNEY OFFICE AND ACKNOWLEDGED. F \$323.31 WAS THE AMOUNT PAID IN FULL AND WARRENTS RECALLED BY DA. G. LETTER OF ACKNOWLEDGMENT DATE 1/25/2001 BY THE DISTROYRY ATTORNEY OFFICE.

Broker Statement	DISCREPANCY IN MR GARRETT'S ACCOUNT, WHICH AROSE FROM INSCRIPTION OF FEE OWED AS A RESULT OF RETURNED CHECK. BECAUSE OF THIS DISCREPANCY IT CAUSE CHECKS TO BOUNCE IN MR GARRETT'S ACCOUNT. ALL CHECKS HAVE BEEN PAID AND ALL COUNTS HAVE BEEN CLEARED UP AND CASE IS CLOSED. ALL CHECKS WERE FOR A MERCHANDISE PURCHASE. HERE IS A LISTING OF THE PURCHASES, CHECK AMOUNT AND THE RESTITUTION PAID: SOAP N SUDS FOR \$24 RESTITUTION PD \$24 CAMPUS PARTY STORE FOR \$25 RESTITUTION PD \$25 CAMPUS PARTY STORE FOR \$25 RESTITUTION PD \$25 CAMPUS PARTY STORE FOR \$25 RESTITUTION PD \$25 WEST BLDG MATERIAL FOR \$12.34 RESTITUTION PD \$12.34 KWIK SNAK FOR \$15 RESTITUTION PD \$15 KWIK SNAK FOR \$5.85 RESTITUTION PD \$5.85
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BUFFALO PHILS FOR \$5 RESTITUTION PD \$5
BUFFALO PHILS FOR \$50 RESTITUTION PD \$50
CAMPUS PARTY STORE FOR \$5 RESTITUTION PD \$223
CAMPUS PARTY STORE FOR \$25 RESTITUTION PD \$248.74
LOWES FOR \$102.55 RESTITUTION PD \$102.55

BETA CHAPTER OF KAPPA SIGMA FOR \$1600 RESTITUTION WAS \$0
(VICTIM'S REQUEST TO DISMISS)

THE REASON ALL THESE CHECKS WERE NSF WAS BECAUSE OF THE MIX UP WITH THE TREASURER OF THE RATERNITY RECEIVED CASH FOR THE \$1600 CHECK FOR AN IMMEDIATE USE OF A SOCIAL EVENT. THE CHECK WAS SUPPOSE TO BE TORN UP IN RECEIPT OF THE CASH; HOWEVER, THE CHECK WAS DEPOSITED CAUSING THE ACCOUNT TO BE OVERDRAWN.



End of Report

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