



IAPD Report

CHARLES ALBERT STRICKLAND

CRD# 5787158

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6



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 ALBERT STRICKLAND (CRD# 5787158)

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 **07/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ARKADIOS CAPITAL	CRD# 282710	02/20/2026
IA	ARKADIOS WEALTH ADVISORS	CRD# 288863	02/22/2026

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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Rome, GA	11/25/2025 - 02/26/2026
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	ROME, GA	11/21/2025 - 02/26/2026
IA	DEMPSEY LORD SMITH, LLC	141238	ROME, GA	01/08/2026 - 02/24/2026

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?

No



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

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/20/2026
	Connecticut	Agent	Approved	02/20/2026
	Florida	Agent	Approved	07/29/2026
	Georgia	Agent	Approved	02/20/2026
	Indiana	Agent	Approved	02/20/2026
	New Mexico	Agent	Approved	02/20/2026
	North Carolina	Agent	Approved	02/20/2026
	South Carolina	Agent	Approved	07/28/2026
	Texas	Agent	Approved	02/20/2026
	Wisconsin	Agent	Approved	05/11/2026

Branch Office Locations

WATKINSVILLE, GA

Employment 2 of 2

Firm Name: **ARKADIOS WEALTH ADVISORS**



Qualifications

Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305

Firm ID#: 288863

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	03/04/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	02/22/2026

Branch Office Locations

ARKADIOS WEALTH ADVISORS
Watkinsville, GA



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	07/02/2010

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/16/2010



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	11/25/2025 - 02/26/2026	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Rome, GA
B	11/21/2025 - 02/26/2026	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	ROME, GA
IA	01/08/2026 - 02/24/2026	DEMPSEY LORD SMITH, LLC	CRD# 141238	ROME, GA
IA	01/29/2019 - 12/31/2025	DEMPSEY LORD SMITH, LLC	CRD# 141238	WATKINSVILLE, GA
B	01/29/2019 - 11/21/2025	DEMPSEY LORD SMITH, LLC	CRD# 141238	ROME, GA
IA	01/05/2017 - 03/18/2019	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	Colbert, GA
B	12/23/2016 - 03/18/2019	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	Colbert, GA
IA	01/31/2014 - 12/19/2016	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	JEFFERSON, GA
B	01/15/2014 - 12/19/2016	CETERA INVESTMENT SERVICES LLC	CRD# 15340	JEFFERSON, GA
IA	01/15/2014 - 01/31/2014	CETERA INVESTMENT SERVICES LLC	CRD# 15340	JEFFERSON, GA
IA	12/14/2011 - 01/21/2014	FSC SECURITIES CORPORATION	CRD# 7461	ALPHARETTA, GA
B	12/09/2011 - 01/21/2014	FSC SECURITIES CORPORATION	CRD# 7461	ALPHARETTA, GA
IA	08/26/2010 - 12/15/2011	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ATLANTA, GA
B	07/05/2010 - 12/15/2011	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ATLANTA, GA



Registration & Employment History

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
02/2026 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
02/2026 - Present	ARKADIOS WEALTH ADVISORS	Investment Adviser Representative	Y	Atlanta, GA, United States
11/2025 - 02/2026	CAMBRIDGE INVESTMENT RESEARCH, INC.	Mass Transfer/Registered Representative	Y	Fairfield, IA, United States
11/2025 - 02/2026	Cambridge Investment Research Advisors, Inc.	IAR	Y	Fairfield, IA, United States
01/2019 - 02/2026	Dempsey Lord Smith, LLC	IAR	Y	Rome, GA, United States
01/2010 - 02/2026	STRICKLAND INSURANCE	INDEPENDENT INSURANCE AGENT	Y	ATHENS, GA, United States
01/2019 - 11/2025	DEMPSEY LORD SMITH, LLC	REGISTERED REPRESENTATIVE / INVESTMENT ADVISOR REPRESENTATIVE	Y	ROME, GA, United States
12/2016 - 01/2019	Lincoln Financial Advisors	REGISTERED REPRESENTATIVE	Y	Colbert, GA, United States
01/2014 - 12/2016	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ALBANY, GA, United States
01/2014 - 12/2016	CETERA INVESTMENT SERVICES LLC	FC	Y	ST.CLOUD, MN, United States
01/2014 - 12/2016	REGIONS BANK	FC	Y	ALBANY, GA, 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.

Foothills Financial Strategies, Investment related, DBA, 3060 Peachtree RD, Suite 1890, Atlanta, GA 30305, 140-160 hours/month during securities trading hours.



End of Report

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