



IAPD Report

DUSTIN Robert STANLEY

CRD# 6402870

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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

DUSTIN Robert STANLEY (CRD# 6402870)

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 **05/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	ALPHASTAR CAPITAL MANAGEMENT	CRD# 157423	12/18/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
	PRIME CAPITAL FINANCIAL	288712	Tallahassee, FL	02/27/2025 - 10/01/2025
	STRATEGIC WEALTH INVESTMENT GROUP, LLC	165474	LOUISVILLE, KY	12/02/2014 - 02/11/2025

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
Civil Event	2
Customer Dispute	2
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ALPHASTAR CAPITAL MANAGEMENT**
Main Address: 19520 WEST CATAWBA AVENUE
SUITE 112
CORNELIUS, NC 28031
Firm ID#: 157423

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	12/18/2025

Branch Office Locations

ALPHASTAR CAPITAL MANAGEMENT
1819 Main Street
Suite 260
Sarasota, FL 34239



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/2014
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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	02/27/2025 - 10/01/2025	PRIME CAPITAL FINANCIAL	CRD# 288712	Tallahassee, FL
IA	12/02/2014 - 02/11/2025	STRATEGIC WEALTH INVESTMENT GROUP, LLC	CRD# 165474	LOUISVILLE, KY

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	Stanley Wealth & Retirement	President	Y	Sarasota, FL, United States
10/2025 - Present	Alphastar Capital Management, LLC	Investment Adviser Representative	Y	Cornelius, NC, United States
02/2025 - 10/2025	Prime Capital Financial	Investment Advisory Representative	Y	Overland Park, KS, United States
12/2017 - 01/2025	Strategic Wealth Investment Group, LLC	Partner	Y	Louisville, KY, United States
05/2014 - 01/2025	Strategic Wealth Investment Group, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LOUISVILLE, KY, 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. Stanley Wealth & Retirement, President, consulting company on business strategies. Not investment related. 5120 Marina Way unit 16002 Tampa FL 33611 Start date 2016. 0 hour per month, 0 trading hours.
2. Stanlease, President, a leasing company. Not investment related. 5120 Marina Way unit 16002 Tampa FL 3361. Start date 2016. 2 hours a month, 0 trading hours.
3. DR Stanley Enterprises, President, Not Investment Related, Consulting and coaching business, 5120 Marina Way unit 16002 Tampa FL 33611, Started June 2022, 2 hours a month, 0 trading hours.
4. WhiteStan Properties LLC, President/Investor, Not Investment Related, 5120 Marina Way unit 16002 Tampa FL 33611, House Flipping business, Started April 2023, 1 hour a month, 0 trading hours.
5. Insurance Agent, Health and Life Insurance, Investment Related, 2282 Killlearn Center Blvd., Suite D, Tallahassee, FL 32309. Started May 2014. 80 hours per month, 6 trading hours per day.
6. Double D Yachting, President, not investment related, charter yachts, 5120 Marina Way, Unit 16002, Tampa, FL 33611. Started 02/2023, 0 hours per month, 0 hours during trading.
7. Stanley Garage LLC, Owner, Garage building, Not investment related, 5120 Marina Way, Unit 16002, Tampa, FL 33611. Started 05/2024, 0 hours per month, 0 trading hours.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

8. Stanley Performance, Owner, Race team, Not investment related, 5120 Marina Way, Unit 16002, Tampa, FL 33611. Started 05/2024, 0 hours per month, 0 trading hours.
9. SK Development, Owner, building rental for Picasso Cannabis, Not investment related, 5120 Marina Way, Unit 16002, Tampa, FL 33611. Started 2024, 0 hours per month, 0 trading hours.
10. Picasso Cannabis, Investor 44%/partner, medicinal cannabis. Not investment related, 2401-B Bardstown Road - Louisville, KY 40205, Start date 2024, 12 hours per month, 0 trading hours.



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
Civil Event	2
Customer Dispute	2
Termination	1

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 2

Reporting Source:	Individual
Initiated By:	James and Marsha Clark
Relief Sought:	Monetary Penalty other than Fines Restitution
Date Court Action Filed:	07/10/2025
Product Type:	Annuity-Fixed Insurance
Type of Court:	State Court
Name of Court:	Jefferson Circuit Court
Location of Court:	Jefferson County, Kentucky
Docket/Case #:	25-CI-005470
Employing firm when activity occurred which led to the action:	Strategic Wealth Investment Group, LLC
Allegations:	Plaintiffs seek reimbursement for losses allegedly caused by the recommendation of certain annuities and an indexed universal life insurance policy as part of an investment strategy that was allegedly not in best interest of, or suitable for, clients to purchase with their retirement savings. Mr. Stanley denies all allegations.
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	None.

Disclosure 2 of 2



Reporting Source:	Individual
Initiated By:	William and Cynthia Keeney
Relief Sought:	Monetary Penalty other than Fines Restitution
Date Court Action Filed:	04/22/2025
Date Notice/Process Served:	04/28/2025
Product Type:	Annuity-Fixed
Type of Court:	State Court
Name of Court:	Jefferson County Circuit Court
Location of Court:	Kentucky
Docket/Case #:	25-CI-003128
Employing firm when activity occurred which led to the action:	Strategic Wealth Investment Group, LLC
Allegations:	Plaintiffs seek reimbursement for losses allegedly caused by the recommendation of certain annuities as part of an investment strategy that was allegedly not in best interest of, or suitable for, clients to purchase with their retirement savings. Mr. Stanley denies all allegations.
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	None.



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: Strategic Wealth Investment Group, LLC

Allegations: Plaintiffs seek reimbursement for losses allegedly caused by the recommendation of certain annuities and an indexed universal life insurance policy as part of an investment strategy that was allegedly not in best interest of, or suitable for, clients to purchase with their retirement savings. Mr. Stanley denies all allegations.

Product Type: Annuity-Fixed Insurance

Alleged Damages: \$470,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: Jefferson Circuit

Location of Court: Kentucky

Docket/Case #: 25-CI-005470

Date Notice/Process Served: 07/14/2025

Litigation Pending? Yes

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Strategic Wealth Investment Group

Allegations: Mr. Stanley had a civil complaint filed against him seeking reimbursement for losses caused by solicitation of certain annuities as part of an investment strategy that was allegedly not in the best interest of, or suitable for, clients to purchase with their retirement savings.

Product Type: Annuity-Fixed

Alleged Damages: \$100,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: Jefferson County Circuit Ct

Location of Court: Kentucky

Docket/Case #: 25-CI-003128



Date Notice/Process Served: 04/28/2025

Litigation Pending? Yes

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Strategic Wealth Investment Group

Allegations: Mr. Stanley had a civil complaint filed against him seeking reimbursement for losses caused by solicitation of certain annuities as part of an investment strategy that was allegedly not in the best interest of, or suitable for, clients to purchase with their retirement savings.

Product Type: Annuity-Fixed

Alleged Damages: \$100,000.00

Civil Litigation Information

Type of Court:

Name of Court: Jefferson County Circuit Court

Location of Court: Kentucky

Docket/Case #: 25-CI-003128

Date Notice/Process Served: 04/28/2025

Litigation Pending? Yes



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: Strategic Wealth Investment Group
Termination Type: Discharged
Termination Date: 01/10/2025
Allegations: During routine oversight, the firm identified advisor facilitating an annuity replacement that was not in the client's best interest. This triggered an internal review of all annuity replacements conducted over the past year. The review uncovered multiple instances of replacements that failed to meet fiduciary standards.
Product Type: Annuity-Fixed

Reporting Source: Individual
Firm Name: Strategic Wealth Investment Group
Termination Type: Discharged
Termination Date: 01/10/2025
Allegations: During routine oversight, Strategic alleges that it identified the advisor facilitating an annuity replacement that was not in the client's best interest. This triggered internal review of all annuity replacements conducted over the past year. Strategic alleges the review uncovered multiple instances of replacements that failed to meet fiduciary standards, but also concluded there was no customer harm.
Product Type: Annuity-Fixed



End of Report

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