User Guidance

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IAPD Report

ROBERT ALAN WOLTER

CRD# 871188

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

ROBERT ALAN WOLTER (CRD# 871188)

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 **12/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	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
IA	STRATOS WEALTH PARTNERS, LTD	153184	SAN DIEGO, CA	10/03/2016 - 11/17/2025
B	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	10/03/2016 - 08/20/2019
B	WELLS FARGO ADVISORS, LLC	19616	SAN DIEGO, CA	06/13/2002 - 10/07/2016

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	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:	**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	12/18/2025

Branch Office Locations

STRATOS WEALTH PARTNERS, LTD
12348 High Bluff Drive STE 200
San Diego, CA 92130

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/10/1984

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	09/23/1985
B	Interest Rate Options Examination (S5)	Series 5	12/12/1981
B	General Securities Representative Examination (S7)	Series 7	09/15/1979

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/23/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/08/1979

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.

 Report about ROBERT ALAN WOLTER.

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	10/03/2016 - 11/17/2025	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	SAN DIEGO, CA
B	10/03/2016 - 08/20/2019	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	06/13/2002 - 10/07/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	SAN DIEGO, CA
IA	06/13/2002 - 10/07/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	SAN DIEGO, CA
IA	02/01/2002 - 07/10/2002	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	LAJOLLA, CA
B	07/27/1993 - 07/10/2002	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	07/22/1987 - 09/14/1993	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/19/1979 - 06/30/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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
10/2016 - Present	STRATOS WEALTH PARTNERS, LTD	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, CA, United States
10/2016 - 08/2019	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
05/2009 - 10/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	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) 10/03/2016: Brown Wealth Management - DBA for LPL Business (entity for LPL business) - Investment Related - 12340 El Camino Real, Suite 110, San Diego, CA 92130 - Start 10/2016 - 160 Hr/Mo; 8 Hour(s) During Securities Trading; 100% Time

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Spent

2) 06/14/2017-Stratos Wealth Partners- DBA: (Hybrid) Brown Wealth Management-IAR- start 10/2016- Hours per month 160/ Hours during trading 8- Time spent percent 100%

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	1

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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: BREACH OF CLIENT AGREEMENT AND NEGLIGENCE;

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $61,842.33

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #09-00314

Date Notice/Process Served: 01/14/2009

Arbitration Pending? No

Disposition: Award

Disposition Date: 04/29/2010

Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY CLAIMANTS, INDIVIDUALLY AND TRUSTEES, COMPENSATORY DAMAGES IN THE TOTALED SUM AMOUNT OF $17,421.23

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CALIFORNIA CLIENT CLAIMED THAT WHEN THE FA RECOMMENDED THAT HE BUY WB, HE SPECIFICALLY ASKED THE FA ABOUT HIS CONCERN AS TO WACHOVIA CORPORATION¿S SUB-PRIME OR QUESTIONABLE LOANS. THE CLIENT FURTHER CLAIMED THAT THE FA ASSURED HIM THAT WACHOVIA CORPORATION HAD VERY LITTLE EXPOSURE. THE CLIENT CLAIMED THAT, SUBSEQUENTLY, THE FA INFORMED HIM THAT WHEN WACHOVIA CORPORATION PURCHASED WORLD BANK LAST YEAR, WORLD BANK HAD QUITE A BIT OF EXPOSURE TO LOANS THAT ARE NOW IN TROUBLE. THE CLIENT CLAIMED THAT THE FA SHOULD HAVE KNOWN THIS. THE CLIENT CLAIMED THAT HIS INVESTMENT IN WB HAD DECLINED BY APPROXIMATELY 30%. ON JANUARY 23, 2008, THE CLIENT AND HIS WIFE PURCHASED SHARES OF WB IN EACH OF THEIR IRA ACCOUNTS AND FOR THEIR FAMILY TRUST ACCOUNT. THE CLIENTS AGGREGATE INVESTMENT IN WB HAS DECLINED IN VALUE BY APPROXIMATELY $32,678 SINCE THEY PURCHASED THE SHARES. ****ARBITRATION ALLEGATIONS: CLAIMANTS, RESIDENTS OF CALIFORNIA, ALLEGE CLAIMS OF NEGLIGENCE, VIOLATION OF FINRA/NASD RULE 2110, VIOLATION OF FINRA/NASD RULE 2210, VIOLATION OF FINRA/NASD RULE 2310, AND BREACH OF CONTRACT AGAINST FA FOR INVESTMENTS OF WACHOVIA STOCK (WB) MADE IN THEIR ACCOUNTS FROM JANUARY 23, 2008 THROUGH SEPTEMBER 19, 2008 ALLEGEDLY RESULTING IN SIGNIFICANT LOSSES. CLAIMANTS SEEK ACTUAL DAMAGES OF $61,842.33 PLUS ALL FEES, COSTS AND OTHER SUCH RELIEF AS THE PANEL DEEMS APPROPRIATE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$32,678.00
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:	04/15/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	01/26/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00314
Date Notice/Process Served:	01/26/2009

Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	04/29/2010
Monetary Compensation Amount:	$17,533.73
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM DENIED THE COMPLAINT ON APRIL 29, 2008. IT WAS DETERMINED THAT THE FA DID NOT SOLICIT OR RECOMMEND THAT THE CLIENT PURCHASE THE WB SHARES FOR HIS ACCOUNTS. PER THE FA HE DID RECOMMEND SEVERAL OTHER BANK/FINANCIAL STOCKS THAT HE BELIEVED WERE OVERSOLD AND HAD LIMITED EXPOSURE TO SUB-PRIME OR QUESTIONABLE LOANS. THE CLIENT'S TRADES IN WB WERE UNSOLICITED. THE CLIENT STATED, AFTER FILING HIS COMPLAINT, THAT HE MISUNDERSTOOD THE EARNINGS ANNOUNCEMENT THAT WAS MADE BY WACHOVIA CORP AND THAT HE WAS JUST UPSET THAT THE SHARES OF WB WERE DOWN AFTER THE ANNOUNCEMENT. A REVIEW OF THE CLIENT'S ACCOUNTS INDICATED THAT HIS AGGREGATE INVESTMENT IN WB CONSTITUTED LESS THAN 6.0% OF HIS OVERALL HOLDINGS AND THAT THE MAJORITY OF HIS HOLDINGS WERE DIVERSIFIED AMONG A NUMBER OF MANAGED ACCOUNTS. THE CLIENT INDICATED THAT HE WAS COMFORTABLE WITH HIS HOLDINGS IN WB. *** ARBITRATION SERVED. THIS MATTER WENT TO HEARING ON MARCH 30-31, 2010 AND THE ARBITRATION PANEL AWARDED CLAIMANTS $17,533.73.

End of Report

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