

BrokerCheck Report

JAY RICHARD SPECTOR

CRD# 5197488

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**JAY R. SPECTOR**

CRD# 5197488

Currently employed by and registered with the following Firm(s):

IA STRATOS WEALTH PARTNERS, LTD
 6909 E GREENWAY PARKWAY
 SUITE 195
 SCOTTSDALE, AZ 85254
 CRD# 153184
 Registered with this firm since: 07/28/2017

B LPL FINANCIAL LLC
 17505 N 79TH AVE STE 112A
 GLENDALE, AZ 85308
 CRD# 6413
 Registered with this firm since: 07/28/2017

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 32 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 SCOTTSDALE, AZ
 03/2011 - 07/2017
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 03/2011 - 07/2017
- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 07/2017 - 07/2017

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 32 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/28/2017

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	06/27/2023
B	Arizona	Agent	Approved	07/28/2017
B	California	Agent	Approved	07/28/2017
B	Colorado	Agent	Approved	07/28/2017
B	Connecticut	Agent	Approved	07/17/2019
B	District of Columbia	Agent	Approved	06/09/2023
B	Florida	Agent	Approved	07/28/2017
B	Hawaii	Agent	Approved	03/04/2025
B	Idaho	Agent	Approved	07/28/2017
B	Illinois	Agent	Approved	07/28/2017
B	Iowa	Agent	Approved	07/28/2017
B	Kansas	Agent	Approved	01/09/2023



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	08/18/2023
B	Massachusetts	Agent	Approved	07/28/2017
B	Michigan	Agent	Approved	07/28/2017
B	Missouri	Agent	Approved	07/19/2023
B	Montana	Agent	Approved	07/28/2017
B	Nevada	Agent	Approved	07/28/2017
B	New Jersey	Agent	Approved	07/28/2017
B	New Mexico	Agent	Approved	07/28/2017
B	New York	Agent	Approved	07/28/2017
B	North Carolina	Agent	Approved	01/28/2018
B	Ohio	Agent	Approved	07/28/2017
B	Oregon	Agent	Approved	07/28/2017
B	South Carolina	Agent	Approved	07/28/2017
B	Tennessee	Agent	Approved	09/14/2020
B	Texas	Agent	Approved	07/28/2017
B	Utah	Agent	Approved	07/28/2017
B	Virginia	Agent	Approved	07/28/2017
B	Washington	Agent	Approved	07/28/2017
B	Wisconsin	Agent	Approved	07/28/2017

Branch Office Locations



Broker Qualifications

Employment 1 of 2, continued

LPL FINANCIAL LLC

17505 N 79TH AVE STE 112A
GLENDALE, AZ 85308

LPL FINANCIAL LLC

100 E SHELDON ST, STE 105
PRESCOTT, AZ 86301

LPL FINANCIAL LLC

6909 E GREENWAY PKWY, STE 195
SCOTTSDALE, AZ 85254

Employment 2 of 2

Firm Name: **STRATOS WEALTH PARTNERS, LTD**

Main Office Address: **3750 PARK EAST DR
STE 200
BEACHWOOD, OH 44122**

Firm CRD#: **153184**

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	07/28/2017
IA	Louisiana	Investment Adviser Representative	Approved	07/28/2017
IA	Texas	Investment Adviser Representative	Approved	07/28/2017

Branch Office Locations

17505 N 79th Avenue, 112A
Glendale, AZ 85308

100 E SHELDON ST, STE 105
PRESCOTT, AZ 86301

6909 E GREENWAY PARKWAY

Broker Qualifications



Employment 2 of 2, continued

SUITE 195
SCOTTSDALE, AZ 85254



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/16/2006

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/03/2009
B Uniform Securities Agent State Law Examination	Series 63	01/22/2007

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2011 - 07/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SCOTTSDALE, AZ
IA 03/2011 - 07/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SCOTTSDALE, AZ
IA 07/2017 - 07/2017	LPL FINANCIAL LLC	6413	SCOTTSDALE, AZ
IA 11/2009 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ
B 03/2008 - 03/2011	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ
B 11/2006 - 03/2008	RBC CAPITAL MARKETS CORPORATION	31194	PHOENIX, AZ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2017 - Present	LPL Financial, LLC	Registered Representative	Y	Scottsdale, AZ, United States
07/2017 - Present	Stratos Wealth Partners, LTD	Investment Adviser Representative	Y	Scottsdale, AZ, United States
04/2011 - 07/2017	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States
03/2011 - 07/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.



Registration and Employment History

Other Business Activities, continued

1. 7/28/2017 - STRATOS WEALTH PARTNERS - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start 07/2017 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.
2. 7/28/2017 - Barton Spector Wealth Strategies - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 07/01/2017 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100%.
3. 8/16/2017 - BSWs, LLC - Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Started 07/29/2017 - 15 Hours Per Month/10 Hours During Securities Trading.
4. 8/29/2017 - Stratos Wealth Partners, LTD. - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start 7/2017 - 160 Hours Per/8 Hours Month During Securities Trading - Time Spent 100% - I provide investment advisory services through Stratos Wealth Partners, LTD., an independent investment advisor firm. I started this business activity in 07/2017. 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.
5. 10/17/2018 - Not Investment Related - various swim facilities and high schools around Arizona - Other - Start Date:09/01/2018 - 10 Hours Per Month/0 Hours During Trading - USA Swimming and AIA Swimming- swimming official.
6. 09/25/2019 - Barton Spector Wealth Strategies - Investment related - At reported business location(s) - Insurance Agency - start date:01/01/2019 - 10 hrs/mo - 10 hrs during trading.
7. 04/19/2023 - EverVest Financial - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 04/01/2023 - 80 Hours Per Month/8 Hours During Securities Trading
8. 01/08/2024 - EverVest Financial Holding, LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - At Reported Business Location(s) - Start Date 07/01/2023 - 40 Hours Per Month/ During Trading
9. 01/30/2024 - Other - promissory note - Purchase of Partner's Practice - Not Investment Related - At Reported Business Location(s) - Start Date 07/01/2023 - 0 Hours Per Month/ During Trading
10. 04/15/2025- Spector Luxury Travel dba The Porthole Traveler - Outside/W-2 Employment - Co-Owner- Not Investment Related - Home Based - Start Date 04/10/2025 - 10 hours per month/ 0 hours during trading
11. 04/16/2025 - Dial Junkies, LLC - Not Investment Related - Outside/W-2 Employment - Home based - Start Date: 04/10/2025 - 2 Hrs/Mth - 0 Hrs During Trading.
12. 07/15/2025 - Other - Book Royalty Income - Inv Rel - At Reported Business Location(s) - Start date: 06/16/2025 - 4 Hrs/Mth - 4 Hrs During Trading.

End of Report



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