



ADVISOR NAME: Spencer Pistone Dieck

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TELEPHONE NUMBER: 216-313-9373

Item 1 - Cover Page

Part 2B of Form ADV: Brochure Supplement

Stratos Wealth Advisors, LLC

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www.Stratoswealthadvisors.com

Supplement Date: 12/13/2023

This brochure supplement provides information about Stratos Wealth Advisors, LLC, that supplements the Stratos Wealth Advisors, LLC, brochure. You should have received a copy of that brochure. Please contact Stratos Wealth Advisors, LLC, at 440-519-2500 if you did not receive Stratos Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Spencer Pistone Dieck also is available on the SEC's website at www.adviserinfo.sec.gov.

Spencer Pistone Dieck

Wealth Advisor

Item 2 - Educational Background and Business Experience

Year of Birth: 1984

Education:

Cleveland State University: 2007 attended

University of North Texas: 2004 - 2006, attended

Cleveland State University: 2002 -2003, attended

Business Background:

Stratos Wealth Advisors, LLC: 12/2023 – present, Financial Advisor

Beacon Financial Advisory, LLC: 09/2012 – 12/2023, Investment Advisor Representative

Beacon Financial Partners, LLC: 10/2012 – 12/2023, Financial Analyst

Lincoln Investment: 02/2013 – 12/2023, Registered Representative

Lincoln Financial Advisers: 06/2007 – 09/2012, Case Manager

J. Pistone Market: 06/2006 – 06/2007, Caterer

Item 3 - Disciplinary Information

There are no disciplinary actions to report on this individual.

Item 4 - Other Business Activities

Spencer Pistone Dieck may also be an insurance agent. In such capacity, he may offer and service through various carriers, fixed life insurance products, term insurance, universal insurance, whole life insurance, long term care insurance, disability insurance, health and dental insurance and receive normal and customary commissions as a result of any purchases made by clients. The client is under no obligation to purchase fixed life insurance, term insurance, universal insurance, whole life insurance, long term care insurance, disability insurance, health and dental insurance through Spencer Pistone Dieck on a commissionable basis. In addition, he may receive other compensation such as fixed trails. The potential for receipt of commissions and other compensation gives Spencer Pistone Dieck an incentive to recommend insurance products based on the compensation received, rather than on the client's needs. To address this, disclosure is made to the client at the time the purchase is made, identifying the nature of the transaction or relationship, the role to be played by Spencer Pistone Dieck and any compensation (e.g., commissions, trails) to be paid by the client and/or received by the insurance agent.

Item 5 - Additional Compensation

Spencer Pistone Dieck may also have received compensation as an incentive to join Stratos in the form of upfront forgivable loans, stipends, recruiting bonuses, profit interest units in Stratos, and/or other transition assistance. These forms of compensation are oftentimes provided as a means to aid an advisor during a time of transition when there is no income being generated, and may be paid by Stratos. If Spencer Pistone Dieck received any of these types of compensation, the relative economic value of these incentives is enumerated below.

None.

Receipt of these forms of compensation may present a conflict of interest in that Spencer Pistone Dieck may have undertaken to change firms and join Stratos based on his desire to obtain such economic benefit to themselves rather than on the client's needs and/or best interest.

Spencer Pistone Dieck may receive non-cash compensation from product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$100 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Product sponsors may also pay for education or training events that he may attend. This practice gives Spencer Pistone Dieck an incentive to recommend investment products based on the compensation received, rather than on the client's needs. To address this, Spencer Pistone Dieck is required to disclose to his supervisor all compensation received from product sponsors.

Spencer Pistone Dieck may receive referral compensation for acting as a solicitor in referring clients to third-party investment advisors for account management. The potential for receipt of compensation gives Spencer Pistone Dieck an incentive to recommend a third-party investment advisor based on the compensation received, rather than on the client's needs. To address this, disclosure is made to the client at the time an advisory relationship is established, identifying the nature of the relationship, the role to be played by the third-party investment advisor, Spencer Pistone Dieck, and any compensation to be paid by the client and/or received by Spencer Pistone Dieck.

Item 6 - Supervision

On behalf of Stratos Wealth Advisors, LLC, Jeffrey A. Concepcion, President and Chief Executive Officer, 440-505-5600 is the person responsible for supervision of Spencer Pistone Dieck.

Supervision of Spencer Pistone Dieck is conducted as follows:

The Stratos Wealth Advisors, LLC manner of supervision is a multi-tiered process. Stratos maintains a Code of Ethics to which all advisors must subscribe. The Code of Ethics provides for Stratos and its Advisor Representatives to exercise its fiduciary duty to clients to act in the best interest of the client and always place the client's interests first and foremost. Stratos takes seriously its compliance and regulatory obligations and

requires all Advisors and staff to comply with all federal and state rules and regulations, as well as Stratos' policies and procedures.

Stratos Wealth Advisors, LLC maintains supervisors in both the home office and in field offices. These supervisors are familiar with the firm's Code of Ethics and its supervisory policies and procedures, and their responsibilities as supervisors as they relate to the policies of the firm.

Further, all transactions entered into by the advisors are supervised through the systems of Stratos Wealth Advisors. These systems monitor for unusual activity and inform supervisors of such.

Stratos Wealth Advisors, LLC monitors the advice given by Spencer Pistone Dieck in the following manner:

In addition to the processes noted above, Stratos Wealth Advisors, LLC monitors the activity of its advisors by reviewing trading activity, requiring approval of advisor advertising and approval of any discretion that advisors may have over accounts. The advisors' offices are subject to a review process and the advisors are required, no less than annually, to attest to their compliance with the firm's compliance policies and to their understanding of the firm's Code of Ethics.