IAPD Report

DENNIS GEORGE POULOS

CRD# 1113259

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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

DENNIS GEORGE POULOS (CRD# 1113259)

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 **10/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	05/09/1983
IA	EAGLE STRATEGIES LLC	CRD# 110826	05/28/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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

No information reported.

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
Regulatory Event	2
Customer Dispute	3

User Guidance

www.adviserinfo.sec.gov

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 **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NYLIFE SECURITIES LLC**

Main Address: 51 MADISON AVE.
ROOM 713
NEW YORK, NY 10010

Firm ID#: 5167

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/09/1983
B	FINRA	Direct Participation Programs	Approved	10/03/1984
B	Alabama	Agent	Approved	09/18/2006
B	Arizona	Agent	Approved	09/22/2000
B	Arkansas	Agent	Approved	03/01/2023
B	Colorado	Agent	Approved	07/31/2007
B	Florida	Agent	Approved	07/26/2007
B	Georgia	Agent	Approved	05/12/2008
B	Idaho	Agent	Approved	10/15/2014
B	Illinois	Agent	Approved	04/04/2014
B	Indiana	Agent	Approved	06/16/1999
B	Kentucky	Agent	Approved	03/05/2020
B	Maine	Agent	Approved	09/19/2024

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	10/26/1984
B	Minnesota	Agent	Approved	03/01/2007
B	Nevada	Agent	Approved	01/19/2021
B	New Mexico	Agent	Approved	10/14/2025
B	New York	Agent	Approved	05/03/2017
B	North Carolina	Agent	Approved	06/19/2012
B	Ohio	Agent	Approved	07/28/2004
B	South Carolina	Agent	Approved	06/28/2019
B	Tennessee	Agent	Approved	06/19/2012
B	Texas	Agent	Approved	01/29/2013
B	Utah	Agent	Approved	05/25/2021
B	Virginia	Agent	Approved	03/10/2020
B	Washington	Agent	Approved	08/15/2013
B	Wisconsin	Agent	Approved	09/01/1994

Branch Office Locations

5154 MILLER ROAD
SUITE E
FLINT, MI 48507

Employment 2 of 2

Firm Name: **EAGLE STRATEGIES LLC**

Main Address: 51 MADISON AVENUE
12TH FLOOR

Qualifications

NEW YORK, NY 10010
Firm ID#: 110826

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/28/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	10/18/2017

Branch Office Locations

EAGLE STRATEGIES LLC
5154 MILLER ROAD
SUITE E
FLINT, MI 48507

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Direct Participation Programs Representative Examination (S22)	Series 22	10/02/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/06/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1984

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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:

No information reported.

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
07/2001 - Present	EAGLE STRATEGIES LLC	ADVISOR	Y	FLINT, MI, United States
10/1982 - Present	NYLIFE SECURITIES INC.	OTHER - PROSP RR	Y	OKEMOS, MI, United States
11/1972 - Present	NEW YORK LIFE INSURANCE CO	AGENT - Agent	N	FLINT, MI, 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.

[APPOINTED WITH OUTSIDE INSURANCE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS: INVESTMENT RELATED; INSURANCE BROKER;START DATE 10/2003]

[RENTAL PROPETY #1; OWNER;14095 FENTON ROAD, FENTON,MI 48430; START DATE 1984; NO TIEM SPENT ON ACTIVITY; INVESTMENT RELATED; RENTAL PROPERTY #2;5154 MILLER ROAD, #E, FLINT MI 48507]

[Bristol-Miller Office Park Association; 5154 Miller Road, Suite E, Flint, MI 48507; Start Date: 02/2005; Role/Title: Officer; Not investment related; 1 hour per month]

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
Regulatory Event	2
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	MICHIGAN
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	NONE
Date Initiated:	09/07/1983
Docket/Case Number:	84-5014-L
Employing firm when activity occurred which led to the regulatory action:	NEW YORK LIFE INSURANCE COMPANY
Product Type:	Insurance
Other Product Type(s):	NONE
Allegations:	I PLACED AN AD IN THE PAPER FOR LEVEL TERM INSURANCE AND WAS NOT AWARE THAT THE AUTHORIZATED INSURANCE CARRIER HAD TO BE NAMED IN THE AD. I WAS THEN NOTIFIED BY THE MICHIGAN INSURANCE BUREAU THAT I WAS IN VIOLATION OF THE MICHIGAN CODE.
Current Status:	Final
Appealed To and Date Appeal Filed:	N/A
Resolution:	Other
Resolution Date:	07/03/1984

Sanctions Ordered:	Monetary/Fine $100.00
Other Sanctions Ordered:	NONE
Sanction Details:	$100.00 FINE PAID MATTER CONCLUDED 07/03/1984. THIS WHOLE ISSUE TOOK 15 MINUTES TO RESOLVE OVER THE PHONE.
Broker Statement	ACTION STATUS IS FINAL AS OF 07/03/1984 AFTER HAVING PAID $100.00 FINE. ATTACHED IS THE SUMMARY OF ADMINISTRATIVE ACTION AND A COPY OF AD FOR YOUR REVIEW.

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	WISCONSIN
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	NONE
Date Initiated:	07/18/1995
Docket/Case Number:	95-C24441
Employing firm when activity occurred which led to the regulatory action:	NEW YORK LIFE INSURANCE COMPANY
Product Type:	Insurance
Other Product Type(s):	NONE
Allegations:	WE WERE DENIED A NON-RESIDENT WISCONSIN LICENSE FOR 30 DAYS DUE TO AN OMISSION ON APPLICATION. OMISSION OF $100.00 FINE BECAUSE OF BEING IN VIOLATION OF MICHIGAN CODE FOR A TERM AD PLACED ON 9/7/1983 IN NEWSPAPER. THIS WAS STRICTLY AN OVERSIGHT ON MY PART BECAUSE WE DID NOT THINK ABOUT THE MICHIGAN ISSUE SINCE IT WAS SO MINOR ADN RESOLVED SO QUICKLY.
Current Status:	Final
Resolution:	Other
Resolution Date:	12/20/1995
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	NONE
Sanction Details:	N/A
Broker Statement	ACTION STATUS IS FINAL AS OF 12/20/1995. NO MONETARY FINE. DENIAL OF NON-RESIDENT LICENSE FOR DAYS.

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Customer questions why investments in the stock market were recommended when he is getting ready to retire. Dates:08/2017 to 3/2019
Product Type:	Other: Wrap Account
Alleged Damages:	$5,000.00
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:	03/25/2019
Complaint Pending?	No
Status:	Denied
Status Date:	04/17/2019
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	CUSTOMER ALLEGES THAT THE VARIABLE ANNUITY THEY PURCHASED IN JULY 2012 WAS NOT SUITABLE AND EXPRESSED CONCERNS ABOUT THE LACK OF SERVICE HE HAS RECEIVED FROM HIS RR.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE MORE THAN $5,000.
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: 03/09/2013

Complaint Pending? No

Status: Denied

Status Date: 04/05/2013

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: NEW YORK LIFE SECURITIES CORP.

Allegations: BRCH OF FIDUCIARY DT; SUITABILITY; ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION

Product Type:

Alleged Damages: $97,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #92-03604

Date Notice/Process Served: 11/18/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/02/1993

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW YORK LIFE SECURITIES CORP.

Allegations: ALLEGED MISREPRESENTATION AND UNSUITABILITY
IN THE PURCHASE OF MUTUAL FUNDS AND LIMITED PARTNERSHIPS.

Product Type:

Alleged Damages: $97,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-03604
Date Notice/Process Served:	11/18/1992
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/02/1993
Monetary Compensation Amount:	$30,000.00
Individual Contribution Amount:	
Broker Statement	SETTLEMENT OF $30,000 TO CUSTOMER RE: [CUSTOMER] CASE - THE CLIENT SUBMITTED A REQUEST FOR ARBITRATIONAND A SETTLEMENT OF $107,000, ALLEGING MISREPRESENTATION AND UNSUITABILITY OF MUTUAL FUNDS AND A LIMITED PARTNERSHIP. THE SETTLEMENT REACH AT THE REQUEST OF THE ERRORS AND OMISSIONS CARRIER AND AGREED UPON BY NEW YORK LIFE ([OTHER FIRM EMPLOYEE]), WAS A SETTLEMENT IN COMPROMISE TO SAVE THE TIME AND EXPENSE OF LITIGATION. LIABILITY WAS NOT ADMITTED BY ANY OF THE PARTIES, AND WAS EXPRESSLY DENIED AS PART OF THE FINAL SETTLEMENT. THE AMOUNT OF THE FINAL SETTLEMENT WAS $30,000 AS INDICATED IN 8C.

End of Report

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