IAPD Report

JEROME ANTHONY TIMMERMANN

CRD# 1179608

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

JEROME ANTHONY TIMMERMANN (CRD# 1179608)

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 **06/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	09/21/1983
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/13/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	THE TIMMERMANN GROUP	117938	BREESE, IL	07/02/1998 - 06/03/2003

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	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 **23** 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	09/21/1983
B	FINRA	Direct Participation Programs	Approved	12/11/1984
B	FINRA	General Securities Representative	Approved	06/02/2006
B	Alabama	Agent	Approved	09/10/2014
B	Arizona	Agent	Approved	04/21/2006
B	Arkansas	Agent	Approved	09/30/2024
B	Colorado	Agent	Approved	01/04/2023
B	Florida	Agent	Approved	03/03/2016
B	Georgia	Agent	Approved	06/04/2021
B	Illinois	Agent	Approved	06/19/1984
B	Indiana	Agent	Approved	05/15/2015
B	Kansas	Agent	Approved	05/28/2021
B	Kentucky	Agent	Approved	08/08/2008

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	03/01/2024
B	Massachusetts	Agent	Approved	05/16/2016
B	Michigan	Agent	Approved	01/12/2023
B	Missouri	Agent	Approved	03/10/1992
B	New Jersey	Agent	Approved	07/16/2020
B	North Carolina	Agent	Approved	01/30/2019
B	Ohio	Agent	Approved	07/10/2020
B	Pennsylvania	Agent	Approved	09/27/2021
B	South Carolina	Agent	Approved	03/26/2020
B	South Dakota	Agent	Approved	06/26/2025
B	Texas	Agent	Approved	11/17/2015
B	Virginia	Agent	Approved	05/24/2022
B	Wisconsin	Agent	Approved	05/12/2021

Branch Office Locations

205 NORTH MAIN
BREESE, IL 62230-0346

Employment 2 of 2

Firm Name:	**EAGLE STRATEGIES LLC**
Main Address:	51 MADISON AVENUE 12TH FLOOR NEW YORK, NY 10010
Firm ID#:	110826

Qualifications

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	03/11/2011
IA	Missouri	Investment Adviser Representative	Approved	06/13/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	12/22/2017

Branch Office Locations

EAGLE STRATEGIES LLC
205 N MAIN
BREESE, IL 62230-0346

EAGLE STRATEGIES LLC
THREE CITY PLACE DRIVE
SUITE 690
CREVE COEUR, MO 63141

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

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, 4 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)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/25/1998
B	Direct Participation Programs Representative Examination (S22)	Series 22	12/10/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/20/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/09/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/08/1991

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 JEROME ANTHONY TIMMERMANN.

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	07/02/1998 - 06/03/2003	THE TIMMERMANN GROUP	CRD# 117938	BREESE, IL

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
09/2010 - Present	EAGLE STRATEGIES LLC	IAR	Y	BREESE, IL, United States
07/2010 - Present	TIMMERMANN FAMILY ENTERPRISES LLC	OWNER	N	BREESE, IL, United States
12/2003 - Present	THE TIMMERMANN GROUP	OWNER	Y	BREESE, IL, United States
04/1983 - Present	NYLIFE SECURITIES INC.	OTHER - IR	Y	ST. LOUIS, MO, United States
05/1981 - Present	NEW YORK LIFE INS CO	AGENT - Agent	N	ST LOUIS, MO, 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.

[OPERATING UNDER THE DBA NAME OF THE TIMMERMANN GROUP FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; START DATE: 12/2003]

[Notary Public; provide notary services to clients; 205 N. Main Street, Breese, IL 62230; Start Date 11/2017; Role/Title: Notary Public; Not Investment Related; 1 hours per month; 1 hours per month during securities trading hours]

[NYLARC Holding Company Inc.; Reinsuring the life insurance that I write with New York Life; 51 Madison Avenue, NY, NY 10010; Start Date 01/1996; Role/Title: Shareholder; Investment Related; 1 hours per month; 1 hours per month during securities trading hours]

[BELLEVILLE BANCORP, INC.; Bank of Belleville is opening a new branch called Bank of Clinton County and I was invited to purchase shares of the private placement; Corner of Route 161 and 160, New Baden, Illinois 62265; Start Date 03/2021; Role/Title: Investor; Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]

Registration & Employment History

OTHER BUSINESS ACTIVITIES

[Sacral Solutions LLC; They are going to manufacture seat cushions to correct poor sitting postures and relief back pain; 710 Indian Road, Creston, BC VOB1G8; Start Date 03/2022; Role/Title: Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor][Timmermann Business Consulting LLC d/b/a CTA Advisory Group; company that files reports to comply with the Corporate Transparency Act; 64 Windsor Lane, Breese, IL 62230; Start Date 09/2024; Role/Title: spouse is 100% owner; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; referral business][Timmermann Family Enterprises, LLC ; rental income. rental income for the office space but now will also own a condo in Florida; 205 N. Main Street, Breese, IL 62230; Start Date 05/2010; Role/Title: Owner; Investment Related; 1 hours per month; 0 hours per month during securities trading hours; manage properties]

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	1

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:	State of Wisconsin/Office of the Commissioner of Insurance
Sanction(s) Sought:	Denial
Date Initiated:	10/09/2019
Docket/Case Number:	19-C43355
Employing firm when activity occurred which led to the regulatory action:	NYLIFE SECURITIES LLC
Product Type:	No Product
Allegations:	The Office of the Commissioner of Insurance (OCI) for the State of Wisconsin denied the RR's application for licensure based on factors as described in Section 628.04(1), Wis. Stat. and Section Ins 6.59(5), Wis. Adm. Code.
Current Status:	Final
Action Appealed To:	State of Wisconsin/Office of the Commissioner of Insurance
Date Appeal filed:	11/05/2019
Appeal Limitation Details:	
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/12/2019
Sanctions Ordered:	Other: The Wisconsin Office of the Commissioner of Insurance issued Mr. Timmermann a conditional Wisconsin non-resident intermediary insurance license having life, life/variable annuity, and accident & health authority effective January 2, 2020. Mr. Timmermann agreed to fully comply with all stipulated licensing and notification requirements.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT ORDER
Date Initiated:	04/19/2007
Docket/Case Number:	0500552
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	VARIABLE ANNUITIES
Allegations:	MATERIAL MISREPRESENTATION & UNETHICAL CONDUCT> NEITHER ADMIT OR DENY
Current Status:	Final
Resolution:	Order
Resolution Date:	05/02/2007
Sanctions Ordered:	Monetary/Fine $22,000.00
Other Sanctions Ordered:	
Sanction Details:	FINE & COSTS OF INVESTIGATION
Regulator Statement	NOTICE OF HEARING WAS ISSUED ON APRIL 19, 2007.THE HEARING IS SCHEDULDED FOR JUNE 20, 2007. CONSENT ORDER ISSUED MAY 2, 2007. CONTACT (217) 524-1688

Reporting Source:	Individual
Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	Other: CONSENT ORDER - MONETARY FINES

Date Initiated:	05/01/2007
Docket/Case Number:	0500552
Employing firm when activity occurred which led to the regulatory action:	NYLIFE SECURITIES
Product Type:	Annuity-Variable
Allegations:	THE DEPARTMENT ENTERED A CONSENT ORDER ALLEGING MATERIAL MISREPRESENTATION AND UNETHICAL CONDUCT. REGISTRANT NEITHER ADMITTED OR DENIED.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/02/2007
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: MUST SUBMIT ALL WRITTEN CORRESPONDENCE TO NEW YORK LIFE FOR APPROVAL PRIOR TO DISSEMINATION AS REQUIRED PURSUANT TO THE POLICIES AND PROCEDURES OF NEW YORK LIFE.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$22,000.00
Portion Levied against individual:	$22,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/04/2007
Was any portion of penalty waived?	No
Amount Waived:	

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:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	WITH REGARD TO THE PURCHASE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY IN FEBRUARY 2003, THE CUSTOMER ALLEGES THAT THE INSURANCE POLICY WAS MISREPRESENTED AS A LEVEL STREAM OF INCOME AND THE SURRENDER CHARGES WAS NOT DISCLOSED.
Product Type:	Insurance
Alleged Damages:	$7,500.00
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:	06/11/2012
Complaint Pending?	No
Status:	Settled
Status Date:	08/14/2012
Settlement Amount:	$7,378.17
Individual Contribution Amount:	$0.00
Broker Statement	THE COMPANY FOUND NO WRONG DOING ON THE PART OF MR. TIMMERMANN RELATED TO THIS COMPLAINT AND EXTENDED AN OFFER IN THE INTEREST OF CUSTOMER RELATIONS ONLY.

End of Report

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