



IAPD Report

JEFFREY RICHARD KNIGHT

CRD# 1241471

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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.



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

JEFFREY RICHARD KNIGHT (CRD# 1241471)

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 **08/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	04/18/1984
IA	EAGLE STRATEGIES LLC	CRD# 110826	03/07/2000

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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
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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
Customer Dispute	3



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 7 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	04/18/1984
B FINRA	Direct Participation Programs	Approved	04/02/1986
B Arizona	Agent	Approved	12/09/2021
B Florida	Agent	Approved	11/19/1985
B Maryland	Agent	Approved	12/09/2021
B New Jersey	Agent	Approved	02/18/2020
B New York	Agent	Approved	09/25/2013
B North Carolina	Agent	Approved	01/18/2024
B Ohio	Agent	Approved	06/27/2017

Branch Office Locations

5411 UNIVERSITY DRIVE
SUITE 204
CORAL SPRINGS, FL 33067

Employment 2 of 2


Firm Name: **EAGLE STRATEGIES LLC**



Qualifications

Main Address: 51 MADISON AVENUE
12TH FLOOR
NEW YORK, NY 10010

Firm ID#: 110826

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	03/07/2000

Branch Office Locations

EAGLE STRATEGIES LLC
5411 UNIVERSITY DRIVE
CORAL SPRINGS, FL 33067



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Direct Participation Programs Representative Examination (S22)	Series 22	04/01/1986
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/17/1984

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/20/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1997

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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 & 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
02/2007 - Present	KNIGHTS BENEFITS GROUP	AGENT	Y	CORAL SPRINGS, FL, United States
02/2007 - Present	WEALTH RETENTION GROUP	AGENT	Y	CORAL SPRINGS, FL, United States
01/1984 - Present	NYLIFE SECURITIES INC.	OTHER - PROS RR	Y	WEST PALM BEACH, FL, United States
07/1981 - Present	NEW YORK LIFE INSURANCE CO	AGENT - Agent	N	FT LAUD, FL, 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 KNIGHT BENEFITS GROUP FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; ROLE/TITLE: owner; 5411 UNIVERSITY DRIVE, coral springs FL 33027; start date 02/2007]

[OPERATING UNDER THE DBA NAME OF WEALTH RETENTION GROUP FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; 5411 UNIVERSITY DRIVE, coral springs FL 33027; start date 02/2007]

[Rental Property; Receiving rental income for the office that is sublet in my office suite to an attorney.; 5411 University Drive, Ste. 204, Coral Springs, FL 33067; Start Date 09/2015; Role/Title: Owner; Investment Related; 0 hours per month; 0 hours per month during securities trading hours]



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	3

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:	THE CUSTOMER ALLEGES THAT HE WAS NOT MADE AWARE OF THE LENGTH OF THE SURRENDER CHARGE PERIOD ASSOCIATED WITH A VARIABLE UNIVERSAL LIFE INSURANCE CONTRACT PURCHASED IN OR AROUND MARCH 2006. HE REQUESTS CANCELLATION OF THE POLICY WITHOUT PENALTY.
Product Type:	Insurance
Alleged Damages:	\$30,690.00
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:	04/21/2016
Complaint Pending?	No
Status:	Denied
Status Date:	05/16/2016
Settlement Amount:	

**Individual Contribution Amount:****Broker Statement**

THE COMPANY DID NOT FIND EVIDENCE TO SUBSTANTIATE THE ALLEGATIONS AGAINST THE RR.

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

NYLIFE SECURITIES LLC

Allegations:

PLAINTIFF CLAIMS THAT IN APRIL 2008, A FIXED PERIOD ANNUITY WAS PURCHASED USING TRUST ASSETS AND IMPROPER REPLACEMENTS OF EXISTING ANNUITIES INCLUDING A VARIABLE ANNUITY. MR. KNIGHT WAS NOT THE WRITING AGENT ON THE ANNUITY IN QUESTION AND HE SPECIFICALLY DENIES ANY AND ALL LIABILITY OR WRONGDOING RELATED TO THE SALE OR ALLEGATIONS MADE IN THE COMPLAINT.

Product Type:

Annuity-Variable

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

BASED ON THE COMPANY'S GOOD FAITH ESTIMATE IT WAS DETERMINED THAT THE COMPENSATORY DAMAGES COULD BE MORE THAN \$5,000.

Civil Litigation Information**Type of Court:**

State Court

Name of Court:

17TH JUDICIAL CIRCUIT COURT FOR BROWARD COUNTY

Location of Court:

BROWARD, FLORIDA

Docket/Case #:

11001325

Date Notice/Process Served:

01/19/2011

Litigation Pending?

No

Disposition:

Settled

Disposition Date:

07/22/2011

Monetary Compensation Amount:

\$1,562,500.00

Individual Contribution Amount:

\$0.00

Broker Statement

THIS RELATES TO THE SEPTEMBER 2010 LITIGATION FILED BY THE SAME PLAINTIFF. SEE OCCURRENCE # 1497945 FILED ON OCTOBER 19, 2010. IN THE LATE 1980S, I WAS ASKED BY ANOTHER AGENT TO ASSIST HIM IN IDENTIFYING INSURANCE PRODUCTS THAT WOULD BE APPROPRIATE FOR HIS CLIENT, CONSIDERING HER SPECIFIC FINANCIAL NEEDS AND OBJECTIVES. OVER THE NEXT 20 YEARS THAT WE WORKED WITH THE CLIENT, THE OTHER AGENT AND I MADE A VARIETY OF RECOMMENDATIONS AND EFFECTED A NUMBER OF TRANSACTIONS FOR THE CLIENT'S INDIVIDUAL ACCOUNT AND HER TRUST ACCOUNT, ALL OF WHICH WE BELIEVED WERE CONSISTENT WITH HER PERSONAL CIRCUMSTANCES AND HER NEEDS AND OBJECTIVES. DURING THAT TIME, WE REGULARLY PROVIDED THE CLIENT'S ATTORNEY AND ACCOUNTANT INFORMATION ABOUT THE TRANSACTIONS WE EFFECTED FOR HER AND



FOR HER TRUST AND THE CLIENT NEVER EXPRESSED ANY CONCERNS OR COMPLAINTS REGARDING ANY OF OUR RECOMMENDATIONS OR THE TRANSACTIONS WE EFFECTED FOR HER AND FOR HER TRUST NOR DID HER ATTORNEY OR ACCOUNTANT. THE DECISION TO SETTLE THIS MATTER WAS MADE BY MY ERRORS AND OMISSIONS INSURANCE CARRIER IN ORDER TO AVOID THE COST AND UNCERTAINTY OF LITIGATION. I WAS NOT CONSULTED ON THE DECISION TO SETTLE THIS MATTER, WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT, AND DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

NYLIFE SECURITIES LLC

Allegations:

WITH REGARD TO PURCHASES AND LIQUIDATIONS OF INVESTMENT PRODUCTS INCLUDING VARIABLE LIFE INSURANCE, A VARIABLE ANNUITY AND MUTUAL FUNDS BETWEEN NOVEMBER 1994 AND DECEMBER 2005, THE CUSTOMER'S POWER OF ATTORNEY ALLEGES THAT PRODUCTS RECOMMENDED WERE UNSUITABLE. MR. KNIGHT WAS NOT THE WRITING AGENT ON THE PRODUCTS IN QUESTION AND HE SPECIFICALLY DENIES ANY AND ALL LIABILITY OR WRONGDOING RELATED TO THE SALE OR ALLEGATIONS MADE IN THE COMPLAINT.

Product Type:Annuity-Variable
Insurance
Mutual Fund**Alleged Damages:**

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

BASED ON THE COMPANY'S GOOD FAITH ESTIMATE IT WAS DETERMINED THAT THE COMPENSATORY DAMAGES COULD 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:

02/02/2010

Complaint Pending?

No

Status:

Evolved into Civil litigation (the individual is a named party)

Status Date:

09/21/2010

Settlement Amount:**Individual Contribution Amount:**

Civil Litigation Information

Type of Court:

State Court

Name of Court:

THE CIRCUIT COURT FOR BROWARD COUNTY

Location of Court:

BROWARD COUNTY, FLORIDA



Docket/Case #: 10-4172
Date Notice/Process Served: 09/21/2010
Litigation Pending? No
Disposition: Settled
Disposition Date: 07/22/2011
Monetary Compensation Amount: \$1,562,500.00
Individual Contribution Amount: \$0.00

Broker Statement

THIS RELATES TO THE JANUARY 2011 LITIGATION FILED BY THE SAME PLAINTIFF. SEE OCCURRENCE # 1549727 FILED ON FEBRUARY 18, 2011. IN THE LATE 1980S, I WAS ASKED BY ANOTHER AGENT TO ASSIST HIM IN IDENTIFYING INSURANCE PRODUCTS THAT WOULD BE APPROPRIATE FOR HIS CLIENT, CONSIDERING HER SPECIFIC FINANCIAL NEEDS AND OBJECTIVES. OVER THE NEXT 20 YEARS THAT WE WORKED WITH THE CLIENT, THE OTHER AGENT AND I MADE A VARIETY OF RECOMMENDATIONS AND EFFECTED A NUMBER OF TRANSACTIONS FOR THE CLIENT'S INDIVIDUAL ACCOUNT AND HER TRUST ACCOUNT, ALL OF WHICH WE BELIEVED WERE CONSISTENT WITH HER PERSONAL CIRCUMSTANCES AND HER NEEDS AND OBJECTIVES. DURING THAT TIME, WE REGULARLY PROVIDED THE CLIENT'S ATTORNEY AND ACCOUNTANT INFORMATION ABOUT THE TRANSACTIONS WE EFFECTED FOR HER AND FOR HER TRUST AND THE CLIENT NEVER EXPRESSED ANY CONCERNS OR COMPLAINTS REGARDING ANY OF OUR RECOMMENDATIONS OR THE TRANSACTIONS WE EFFECTED FOR HER AND FOR HER TRUST NOR DID HER ATTORNEY OR ACCOUNTANT. THE DECISION TO SETTLE THIS MATTER WAS MADE BY MY ERRORS AND OMISSIONS INSURANCE CARRIER IN ORDER TO AVOID THE COST AND UNCERTAINTY OF LITIGATION. I WAS NOT CONSULTED ON THE DECISION TO SETTLE THIS MATTER, WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT, AND DID NOT CONTRIBUTE TO THE SETTLEMENT.



End of Report

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