



IAPD Report

GALEN DWIGHT DODY

CRD# 1911757

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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

GALEN DWIGHT DODY (CRD# 1911757)

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 **05/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	08/28/1989
IA	EAGLE STRATEGIES LLC	CRD# 110826	09/27/2000

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
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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 **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	08/28/1989
B Alabama	Agent	Approved	05/06/2021
B Arizona	Agent	Approved	04/03/2012
B Arkansas	Agent	Approved	02/18/2010
B California	Agent	Approved	08/17/2017
B Colorado	Agent	Approved	11/15/2017
B Florida	Agent	Approved	03/13/2020
B Georgia	Agent	Approved	03/14/2012
B Idaho	Agent	Approved	03/15/2012
B Illinois	Agent	Approved	03/12/2012
B Indiana	Agent	Approved	11/01/2017
B Iowa	Agent	Approved	09/17/2009
B Kansas	Agent	Approved	09/05/1989



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	08/15/2013
B Minnesota	Agent	Approved	06/06/2011
B Mississippi	Agent	Approved	05/15/2023
B Missouri	Agent	Approved	08/30/1989
B Nebraska	Agent	Approved	03/30/2018
B New Mexico	Agent	Approved	04/04/2024
B North Carolina	Agent	Approved	07/14/2021
B Ohio	Agent	Approved	01/15/2013
B Oklahoma	Agent	Approved	04/26/2019
B Pennsylvania	Agent	Approved	03/11/2024
B South Carolina	Agent	Approved	03/08/2001
B Texas	Agent	Approved	01/29/2013
B Virginia	Agent	Approved	03/08/2023

Branch Office Locations

125 S WASHINGTON
CLINTON, MO 64735

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 Kansas	Investment Adviser Representative	Approved	11/17/2010
IA Missouri	Investment Adviser Representative	Approved	09/27/2000
IA Texas	Investment Adviser Representative	Restricted Approval	08/12/2016

Branch Office Locations

EAGLE STRATEGIES LLC
125 S WASHINGTON
CLINTON, MO 64735



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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/25/1989

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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
05/2008 - Present	DODY LEGACY GROUP, LLC	OWNER	Y	CLINTON, MO, United States
12/1988 - Present	NYLIFE SECURITIES INC.	NOT PROVIDED	Y	OVERLAND PARK, KS, United States
04/1986 - Present	NEW YORK LIFE INS CO	AGENT - Agent	N	OVERLAND PARK, KS, United States
10/2016 - 11/2024	GENERATION STRATEGIES, LLC	Owner	Y	Clinton, MO, United States
07/2015 - 10/2016	FARM GENERATION STRATEGIES, LLC	OWNER	Y	CLINTON, 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 DODY LEGACY GROUP, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; CLINTON MS; INVESTMENT RELATED; OWNER; START DATE: 03/2002]

[RENTAL PROPERTY; COMMERCIAL BUILDING; CLINTON MO; START DATE: 2/2007; ROLE/TITLE: OWNER; INVESTMENT RELATED]

[Agri - Legacy aka Farmers Business League; Educate the ag community about the disasters of estate and succession; 445 S Moreau, PO Box 276, Tipton MO 65081; Start Date 05/2008; Role/Title: Board Member; Not Investment Related; 4 hours per month; 0 hours per month during securities trading hours]

[MY SHARED LEGACY; 125 S. WASHINGTON, CLINTON, MO 64735; START DATE: 01/2010; ROLE/TITLE: OWNER; NOT INVESTMENT RELATED]

[Truman Lake Foundation; Advisory Board Member; Clinton, MO; Start Date 02/2003; Role/Title: Advisory Board Member; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours]

[KMOS-TV, Warrensburg, MO; Advisory Board Member of KMOS is a public broadcasting television station.; Warrensburg, MO; Start Date 04/2013; Role/Title: Board Member; Not Investment Related; 1 hours per month; 1 hours per month during securities trading hours]



Registration & Employment History



OTHER BUSINESS ACTIVITIES

trading hours]

[Dody Farms; I bought some farm acreage for personal use. Farm Property; NE 501 Rd; Clinton, MO 64735; Start Date 06/2017; Role/Title: Owner; Not Investment Related; 20 hours per month; 0 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, New York, NY 10010; Start Date 06/2018; Role/Title: Shareholder; Investment Related; 1 hours per month; 1 hours per month during securities trading hours]

[Henry County Historical Society; Henry County Museum and history; 203 W. Franklin Street, Clinton, MO 64735; Start Date 02/2021; Role/Title: Board Member; Not Investment Related; 2 hours per month; 2 hours per month during securities trading hours; Board member]

[AgriLegacy Tomorrow; Scholarship for Agricultural Focused Education; 125 S Washington St; Start Date 09/2014; Role/Title: Board Member; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours; Help fund scholarship and select recipients]



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:	CUSTOMER ALLEGES THAT HE PAID A SINGLE PREMIUM FOR THE VARIABLE UNIVERSAL LIFE POLICY HE PURCHASED IN NOVEMBER 2000 AND WAS NOT INFORMED THAT ADDITIONAL PAYMENTS WOULD BE REQUIRED. THE CUSTOMER HAS BEEN ADVISED THAT HE NEEDS TO REMIT ADDITIONAL PAYMENTS TO MAINTAIN THE POLICY.
Product Type:	Insurance
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:	07/28/2011
Complaint Pending?	No
Status:	Denied



Status Date: 09/01/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CUSTOMER ALLEGATION WAS DETERMINED TO BE NOT SUBSTANTIATED.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES INC.

Allegations: WITH REGARD TO THE PURCHASE OF A VARIABLE LIFE POLICY PURCHASED ON OR ABOUT APRIL 1997, THE CUSTOMER ALLEGES THAT THE RR ADVISED HIM THAT \$3500 ANNUAL PREMIUM WOULD KEEP THE POLICY INFORCE AND NOW THE RR HAS ADVISED HIM THAT DEPENDING ON THE RATE OF RETURN HE WILL HAVE TO PAY TWO TIMES AS MUCH.

Product Type: Insurance

Alleged Damages: \$7,000.00

Customer Complaint Information

Date Complaint Received: 05/18/2006

Complaint Pending? No

Status: Denied

Status Date: 06/22/2006

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES INC.

Allegations: WITH REGARD TO A VARIABLE ANNUITY PURCHASED IN JUNE 1999, THE CUSTOMER ALLEGES THE PENALTIES ASSOCIATED WITH WITHDRAWALS FROM THE ANNUITY WERE NOT ADEQUATELY DISCLOSED. THE CUSTOMER REQUESTS A RESOLUTION TO THE MATTER.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$17,157.00

Customer Complaint Information

Date Complaint Received: 03/31/2003

Complaint Pending? No

Status: Settled



Status Date:	06/26/2006
Settlement Amount:	\$11,393.19
Individual Contribution Amount:	\$0.00
Broker Statement	THE ALLEGATION IS NOT SUBSTANTIATED AGAINST THE RR. THE COMPANY SETTLED THE ALLEGATION IN THE INTEREST OF GOOD CUSTOMER RELATIONS.



End of Report

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