



IAPD Report

Stacy Hoffman

CRD# 2024467

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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

Stacy Hoffman (CRD# 2024467)

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 **05/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	02/13/2020
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/01/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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
B	MML INVESTORS SERVICES, LLC	10409	STATEN ISLAND, NY	03/25/2017 - 01/10/2020
IA	MML INVESTORS SERVICES, LLC	10409	STATEN ISLAND, NY	03/25/2017 - 12/31/2019
B	MSI FINANCIAL SERVICES, INC.	14251	STATEN ISLAND, NY	07/30/2015 - 03/25/2017

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	2



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 2 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	General Securities Representative	Approved	02/13/2020
B FINRA	General Securities Principal	Approved	03/22/2022
B New Jersey	Agent	Approved	02/18/2020
B New York	Agent	Approved	03/12/2020

Branch Office Locations

79 BROWNING TERRACE
OLD BRIDGE, NJ 08857

Employment 2 of 2

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

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	06/01/2020
IA New York	Investment Adviser Representative	Approved	08/03/2021



Qualifications

Branch Office Locations

EAGLE STRATEGIES LLC
1000 SOUTH AVENUE
SUITE 101
STATEN ISLAND, NY 10311

EAGLE STRATEGIES LLC
79 BROWNING TERRACE
OLD BRIDGE, NJ 08857





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



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	11/19/2004
	General Securities Principal Examination (S24)	Series 24	02/26/2001

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/20/1990

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/31/2013
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/20/1990

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:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/25/2017 - 01/10/2020	MML INVESTORS SERVICES, LLC	CRD# 10409	STATEN ISLAND, NY
IA	03/25/2017 - 12/31/2019	MML INVESTORS SERVICES, LLC	CRD# 10409	STATEN ISLAND, NY
B	07/30/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	STATEN ISLAND, NY
IA	07/30/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	STATEN ISLAND, NY
IA	01/09/2014 - 08/05/2015	SANTANDER SECURITIES	CRD# 41791	STATEN ISLAND, NY
B	09/19/2012 - 08/05/2015	SANTANDER SECURITIES LLC	CRD# 41791	STATEN ISLAND, NY
B	05/27/2008 - 09/19/2012	LPL FINANCIAL LLC	CRD# 6413	STATEN ISLAND, NY
B	12/04/2006 - 05/27/2008	IFMG SECURITIES, INC.	CRD# 14416	BOSTON, MA
B	11/08/1996 - 09/19/2006	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	BROOKLYN, NY
B	05/16/1995 - 10/26/1995	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	04/23/1993 - 04/07/1995	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	05/11/1992 - 05/04/1993	DIME SECURITIES OF NY, INC.	CRD# 28955	BROOKLYN, NY
B	01/24/1990 - 05/20/1992	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI

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
05/2020 - Present	EAGLE STRATEGIES LLC	IAR	Y	STATEN ISLAND, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2020 - Present	NYLIFE SECURITIES LLC	REG REPRESENTATIVE	Y	EDISON, NJ, United States
01/2020 - Present	NEW YORK LIFE INSURANCE CO	AGENT	Y	EDISON, NJ, United States
03/2017 - 02/2020	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	STATEN ISLAND, NY, United States
07/2016 - 01/2020	Massachusetts Mutual Life Insurance Company	Registered Rep	Y	STATEN ISLAND, NY, United States
07/2015 - 03/2017	METLIFE SECURITIES INC	FSR	Y	STATEN ISLAND, NY, 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.

[Isagenix; health and wellness company; distributor and health coach; 548B Seaview Ave, Staten Island, NY 10305; Start date 08/2014; Commissions; 2 hours 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
Customer Dispute	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST ALBANY CORPORATION
Allegations:	CUSTOMER, THROUGH ATTORNEY, ALLEGES UNSUITABLE INVESTMENTS AND EXCESSIVE TRADING, RESULTING IN A LOSS OF APPROXIMATELY \$240,000.00.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$240,000.00

Customer Complaint Information

Date Complaint Received:	11/10/1999
Complaint Pending?	No
Status:	Settled
Status Date:	01/25/2001
Settlement Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #00-01858
Date Notice/Process Served:	05/22/2000



Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/25/2001
Monetary Compensation Amount: \$60,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ALBANY CORP.
Allegations: CUSTOMER ALLEGES THAT THE INVESTMENTS PURCHASED AND SOLD FROM 6/93-4/95 WERE INAPPROPRIATE DUE TO HIS INABILITY TO UNDERSTAND THE INVESTMENTS
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s): STOCK, BONDS, OPEN ENDED MUTUAL FUNDS, CLOSED ENDED MUTUAL FUNDS, REITS, PREFERRED STOCK
Alleged Damages: \$240,000.00

Customer Complaint Information

Date Complaint Received: 11/10/1999
Complaint Pending? No
Status: Settled
Status Date: 01/25/2001
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: CASE #00-01858
Date Notice/Process Served: 05/16/2000
Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/24/2001
Monetary Compensation Amount: \$60,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: FIRST ALBANY CORP

Allegations: MISREPRESENTATION; HOFFMAN EXECUTED TRANSACTIONS IN HER ACCOUNT WITHOUT PRIOR KNOWLEDGE AND CONSENT OF THE CLAIMANT; CLAIMANT ALLEGED THAT HOFFMAN FALSELY AND FRAUDULENTLY MISINFORMED HER AS TO THE STATUS OF THE ACCOUNT MINIMIZING THE TRUE STATUS OF THE ACCOUNT AND INDUCING HER TO MAINTAIN AN ACCOUNT; UNAUTHORIZED INVESTMENTS; UNSUITABILITY

Product Type:

Alleged Damages: \$40,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #95-02655](#)

Date Notice/Process Served: 06/06/1995

Arbitration Pending? No

Disposition: Other

Disposition Date: 07/24/1996

Disposition Detail: AWARD AGAINST PARTY
** RESPONDENT STACY HOFFMAN BE AND HEREBY IS LIABLE AND SHALL PAY CLAIMANT THE SUM OF \$1000.00. **

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST ALBANY CORP

Allegations: Client alleges that Hoffman entered unauthorized, unsuitable and excessive trades in her account. Alleged damages in the amount of \$40,000.

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/24/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 95-02655](#)

Date Notice/Process Served: 06/06/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/24/1996

Monetary Compensation Amount: \$15,712.00

Individual Contribution Amount: \$1,000.00

Firm Statement NASD found in favor of the claimant and ordered First Albany Corporation to pay the claimant \$14,712. Stacy Hoffman is to pay the claimant \$1000.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST ALBANY CORP

Allegations: CUST A/C OF \$600,000 + DROPPED BY \$60,000 DURING THE 1994 BOND MARKET DROP. CUSTOMER HAD BEEN INVESTING WITH ME SINCE 1991 AND ALLEGED THAT TWO INVESTMENTS WERE INAPPROPRIATE.

Product Type: Mutual Fund(s)

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 06/06/1995

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/24/1996

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - 95-02655](#)

Date Notice/Process Served: 03/01/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/01/1995

Monetary Compensation Amount: \$15,712.00



Individual Contribution Amount: \$1,000.00



End of Report

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