IAPD Report

DAVID ROBERT GUILFORD

CRD# 2308983

Section Title

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

DAVID ROBERT GUILFORD (CRD# 2308983)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	01/02/2018
IA	EAGLE STRATEGIES LLC	CRD# 110826	09/16/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	COHIG & ASSOCIATES, INC.	16184	LOCATION	12/07/1994 - 01/24/1995
B	THOMAS JAMES ASSOCIATES, INC.	15609	LOCATION	07/15/1993 - 12/23/1994
B	CHATFIELD DEAN & CO., INC.	14714	LOCATION	07/06/1993 - 07/15/1993

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	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 **10** 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	01/02/2018
B	FINRA	General Securities Representative	Approved	02/21/2019
B	Alabama	Agent	Approved	06/24/2019
B	Arkansas	Agent	Approved	03/22/2022
B	California	Agent	Approved	07/23/2018
B	Colorado	Agent	Approved	05/14/2026
B	Florida	Agent	Approved	04/21/2021
B	Kansas	Agent	Approved	01/14/2019
B	Louisiana	Agent	Approved	01/25/2018
B	Mississippi	Agent	Approved	03/28/2022
B	North Carolina	Agent	Approved	03/31/2026
B	Texas	Agent	Approved	06/21/2019

Branch Office Locations

Qualifications

639 LOYOLA AVENUE
SUITE 1900
NEW ORLEANS, LA 70113

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	Louisiana	Investment Adviser Representative	Approved	09/16/2020

Branch Office Locations

EAGLE STRATEGIES LLC
639 LOYOLA AVENUE
SUITE 1900
NEW ORLEANS, LA 70113

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, 5 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	General Securities Representative Examination (S7TO)	Series 7TO	02/21/2019
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/29/2017
B	National Commodity Futures Examination (S3)	Series 3	06/12/1997
B	General Securities Representative Examination (S7)	Series 7	12/29/1992

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/31/2020
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/2018

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:

	Registration Dates	Firm Name	ID#	Branch Location
B	12/07/1994 - 01/24/1995	COHIG & ASSOCIATES, INC.	CRD# 16184	
B	07/15/1993 - 12/23/1994	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	
B	07/06/1993 - 07/15/1993	CHATFIELD DEAN & CO., INC.	CRD# 14714	
B	01/07/1993 - 06/25/1993	CHATFIELD DEAN & CO., INC.	CRD# 14714	

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
09/2020 - Present	EAGLE STRATEGIES LLC	IAR	Y	NEW ORLEANS, LA, United States
12/2017 - Present	NYLIFE Securities LLC	Reg Representative	Y	New Orleans, LA, United States
05/2017 - Present	New York Life Insurance Co.	Agent	Y	New Orleans, LA, United States
10/2013 - 06/2017	KRW International, Inc.	Finance and Technology	N	Minneapolis, MN, 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.

No information reported.

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.

User Guidance

www.adviserinfo.sec.gov

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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	THE COMMODITY FUTURES TRADING COMMISSION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	PROHIBITED FROM TRADING ON ANY CONTRACT MARKET
Date Initiated:	03/18/1999
Docket/Case Number:	99-R178
Employing firm when activity occurred which led to the regulatory action:	NOT PROVIDED
Product Type:	Futures - Commodity
Other Product Type(s):	
Allegations:	10/02/2000WN DAVID R. GUILFORD IS PROHIBITED FROM TRADING ON ANY MARKET AND SUSPENDED FOR FAILURE TO PAY REPARATIONS AWARD OF $884.00 PLUS INTEREST RATE AT THE ANNUAL RATE OF 5.471%.
Current Status:	Final
Resolution:	Order
Resolution Date:	02/22/2000
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	PROHIBITED FROM TRADING ON ANY CONTRACT MARKET
Sanction Details:	DAVID R.GUILFORD, IS PROHIBITED FROM TRADING ON ANY CONTRACT MARKET AND SUSPENDED FOR FAILURE TO PAY REPARATIONS AWARD OF

	$884.00 PLUS INTEREST AT THE ANNUAL RATE OF 5.471% FROM 03/18/1999 AND FILING FEE OF $50.00
Regulator Statement	10/02/2000WN THE CFTC REPARATIONS SANCTIONS IN EFFECT UPDATE LIST OF JANUARY 1, THROUGH SEPTEMBER 9,2000, DISCLOSES; DAVID R. GUILFORD IS PROHIBITED FROM TRADING ON ANY CONTRACT MARKET AND SUSPENDED FOR FAILURE TO PAY REPARATIONS AWARD OF $884.00 PLUS INTEREST AT THE ANNUAL RATE OF 5.471% FROM 03/18/1999 AND FILING FEE OF $50.00 . (DOCKET/CASE # 99-R178; EFECTIVE DATE 02/22/2000)

Reporting Source:	Individual
Regulatory Action Initiated By:	United States Commodity Futures Trading Commission
Sanction(s) Sought:	Restitution Suspension
Date Initiated:	03/18/1999
Docket/Case Number:	99R-138
Employing firm when activity occurred which led to the regulatory action:	Concorde Trading Group
Product Type:	Futures Commodity
Allegations:	10/02/2000 DAVID R. GUILFORD IS PROHIBITED FROM TRADING ON ANY MARKET AND SUSPENDED FOR FAILURE TO PAY REPARATIONS AWARD OF $884.PP PLUS INTEREST RATE AT THE ANNUAL RATE OF 5.471%
Current Status:	Final
Resolution:	Dismissed
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:	06/26/2017
Sanctions Ordered:	Restitution Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	General Securities Principal
Duration:	indefinite
Start Date:	03/18/1999
End Date:	06/26/2017
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	$884.00

Portion Levied against individual:	$884.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	06/26/2017
Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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