IAPD Report

Keith Zuckerberg

CRD# 2313753

Section Title	Page(s)

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

Keith Zuckerberg (CRD# 2313753)

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 **09/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	11/16/2023
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/17/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	CITIZENS SECURITIES, INC.	39550	ELIZABETH, NJ	08/17/2022 - 09/07/2023
IA	CITIZENS SECURITIES, INC.	39550	ELIZABETH, NJ	08/17/2022 - 09/07/2023
IA	CETERA INVESTMENT ADVISERS LLC	105644	ELIZABETH, NJ	09/24/2018 - 08/17/2022

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
Termination	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 **3** 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	11/16/2023
B	FINRA	General Securities Principal	Approved	03/26/2025
B	Connecticut	Agent	Approved	09/25/2025
B	New Jersey	Agent	Approved	09/25/2025
B	New York	Agent	Approved	11/16/2023

Branch Office Locations

1 WORLD TRADE CENTER
285 FULTON STREET, 39TH FL
NEW YORK, NY 10007-0166

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 York	Investment Adviser Representative	Approved	06/17/2024

Qualifications

Branch Office Locations

EAGLE STRATEGIES LLC
1 WORLD TRADE CENTER
39TH FL
NEW YORK, NY 10007-0090

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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/13/2012
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/30/2012
B	Municipal Securities Principal Examination (S53)	Series 53	03/22/2010
B	General Securities Principal Examination (S24)	Series 24	06/20/1996

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/14/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1994

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.

User Guidance

www.adviserinfo.sec.gov

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	08/17/2022 - 09/07/2023	CITIZENS SECURITIES, INC.	CRD# 39550	ELIZABETH, NJ
IA	08/17/2022 - 09/07/2023	CITIZENS SECURITIES, INC.	CRD# 39550	ELIZABETH, NJ
IA	09/24/2018 - 08/17/2022	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	ELIZABETH, NJ
B	09/24/2018 - 08/17/2022	CETERA INVESTMENT SERVICES LLC	CRD# 15340	ELIZABETH, NJ
IA	01/28/2015 - 09/19/2018	CAPITAL ONE ADVISORS, LLC	CRD# 136865	New York, NY
B	01/02/2015 - 09/19/2018	CAPITAL ONE INVESTING, LLC	CRD# 45744	New York, NY
IA	10/01/2012 - 01/28/2015	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	NEW YORK, NY
B	09/27/2012 - 01/02/2015	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	NEW YORK, NY
IA	11/21/2008 - 07/26/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	LITTLE NECK, NY
B	04/17/2008 - 07/26/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	LITTLE NECK, NY
B	06/14/2005 - 06/09/2006	GUNNALLEN FINANCIAL, INC	CRD# 17609	STATEN ISLAND, NY
B	05/13/2003 - 06/18/2003	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	05/13/2003 - 06/18/2003	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	01/14/2000 - 09/09/2002	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	02/07/1997 - 12/01/1998	BERNARD HEROLD & CO., INC.	CRD# 6193	NEW YORK, NY
B	02/05/1996 - 11/27/1996	EURO-ATLANTIC SECURITIES INC.	CRD# 21367	BOCA RATON, FL

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	06/07/1995 - 12/04/1995	L.B. SAKS, INC.	CRD# 34070	
B	12/12/1994 - 05/31/1995	NORFOLK SECURITIES CORP.	CRD# 32352	NEW YORK, NY
B	09/15/1994 - 12/15/1994	GREENWAY CAPITAL CORP.	CRD# 25152	NEW YORK CITY, NY
B	07/08/1994 - 09/09/1994	MEYERS POLLOCK ROBBINS, INC.	CRD# 13436	NEW YORK, NY
B	03/03/1994 - 07/08/1994	A.S. GOLDMEN & CO., INC.	CRD# 23180	RED BANK, NJ
B	01/17/1994 - 02/04/1994	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, NY

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
06/2024 - Present	Eagle Strategies LLC	IAR	Y	NEW YORK, NY, United States
11/2023 - Present	NYLIFE SECURITIES LLC	REGISTERED REP	Y	NEW YORK, NY, United States
10/2023 - Present	NEW YORK LIFE INSURANCE CO	AGENT	Y	New York, NY, United States
08/2022 - 08/2023	CITIZENS SECURITIES, INC.	WEALTH CLIENT SEGMENT MANAGER	Y	ELIZABETH, NJ, United States
09/2018 - 08/2022	CETERA INVESTMENT ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	STATEN ISLAND, NY, United States
09/2018 - 08/2022	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST. CLOUD, MN, United States
09/2018 - 08/2022	INVESTORS BANK	REGISTERED REPRESENTATIVE	Y	STATEN ISLAND, NY, United States
01/2015 - 09/2018	CAPITAL ONE SHAREBUILDER, INC.	Mass Transfer	Y	NEW YORK, NY, United States
01/2015 - 09/2018	SHAREBUILDER 401K	Mass Transfer	Y	SEATTLE, WA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2012 - 09/2018	CAPITAL ONE FINANCIAL ADVISORS	FINANCIAL CONSULTANT III	Y	NEW YORK, 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.

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.

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
Termination	2

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/04/1997
Docket/Case Number:	C07970007
Employing firm when activity occurred which led to the regulatory action:	EURO-ATLANTIC SECURITIES INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/11/1997
Sanctions Ordered:	Censure Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	[TOP] COMPLAINT NO. C07970007 FILED 3/4/97 BY DISTRICT NO. 7 AGAINST EURO-ATLANTIC SECURITIES INC., DAVID P. MELILLO, MATTHEW R. DICKMAN, EUGENE J. CORDANO, ANTHONY J. TOLENDINI, GLEN E. DELUCA, JAIRO A. BAQUERO, JR., NICHOLAS J. CIANCIAUSO, JOHN BRUZZESE, NICHOLAS J. MORMANDO, JR., ALPHONSE C. SEDDIO, JR., FRANK W. SCHIAVONE, NEIL H. BRAUNER, CHARLES M. FRANCIS, TIMOTHY R. CALKINS, JR., PATRICK E. CURRY, JR., THOMAS M. SCIPIONE, STEPHEN M. O'DONNELL, GIOVANNI DOMINO, KEITH M. ZUCKERBERG, FRED J. MATERA, JR., PETER M. DELSENI, MICHAEL BRUZZESE, JOSEPH P. MEDURI, RICHARD P. WILLIAMS, JR. VINCENT A. PADULO, JR., EDWARD GOMEZ, EDWARD MACHADO, FRANK J. DECOLA, HAROLD J. KLUMBACH, HUGO P. ZULUAGA AND ROBERT E. HINES ALLEGING VIOLATION OF NASD RULES 2110, 2120 AND 2440 IN THAT MELILLO USED MANIPULATIVE OR FRAUDULENT DEVICES IN CONNECTION WITH THE SALES OF WARRANTS; DOMINATED AND CONTROLLED BOTH THE WHOLESALE AND RETAIL MARKETS FOR A SECURITY SUCH THAT THERE WAS NOT INDEPENDENT, COMPETITIVE MARKET IN THE SECURITY; CHARGED FRAUDULENTLY EXCESSIVE MARK-UPS TO RETAIL CUSTOMERS IN PRINCIPAL TRANSACTIONS; CORDANO, TOLENDINI, DELUCA, BAQUERO, CIANCIARUSO, J. BRUZZESE, MORMANDO, SEDDIO, SCHIAVONE, BRAUNER, FRANCIS, CALKINS, CURRY, SCIPIONE, O'DONNELL, DOMINO, ZUCKERBERG, TUZZOLINO, MATERA, DELSENI, M. BRUZZESE, MEDURI, WILLIAMS, HINES, PADULO, GOMEZ, MACHADO, DECOLA, KLUMBACH AND ZULUAGA ENGAGED IN UNFAIR PRICING REGARDING THE SALE OF WARRANTS TO PUBLIC CUSTOMERS IN THAT THEY THE GROSS COMMISSIONS THEY EARNED ON THE SALES OF WARRANTS RANGED FROM 15 TO 32 PERCENT OF THEIR CUSTOMERS' TOTAL INVESTMENT AND THEY FAILED TO EVER QUESTION THE FAIRNESS OF THE PRICES BEING CHARGED TO RESPONDENT MEMBER'S RETAIL CUSTOMERS. ON 9/11/97, DECISION AND ORDER OF ACCEPTANCE OF ZUCKERBERG'S OFFER OF SETTLEMENT WAS ISSUED; HE IS CENSURED AND MUST PAY $1,690.85 IN RESTITUTION TO CUSTOMERS. RESTITUTION IS COMPLETE PER DIST. 7 (3/98)***

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	RESTITUTION
Date Initiated:	03/04/1997
Docket/Case Number:	C07970007
Employing firm when activity occurred which led to the regulatory action:	EURO-ATLANTIC SECURITIES INC.
Product Type:	Other
Other Product Type(s):	STOCKS AND WARRENTS

Allegations:	UNFAIR PRICING $1,690.00 OVER CHARGE IN COMMISSION.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/11/1997
Sanctions Ordered:	Censure Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	$1,490.00 WAS DIVIDED PROPORTIONATELY TO EACH CLIENT IN QUESTION
Broker Statement	ENGAGED IN UNFAIR PRICING REGARDING THE SALE OF WARRANTS TO PUBLIC CUSTOMERS IN THAT THE GROSS COMMISSIONS EARNED ON THE SALE OF WARRANTS RANGED FROM 15 TO 32 PERCENT OF CUSTOMERS' TOTAL INVESTMENT.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Firm Name:	CHASE INVESTMENT SERVICES CORP
Termination Type:	Discharged
Termination Date:	07/13/2012
Allegations:	NON SECURITIES RELATED. REGISTERED REP SUBMITTED INACCURATE MILEAGE REIMBURSEMENT REQUESTS.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	CHASE INVESTMENT SERVICES CORP
Termination Type:	Discharged
Termination Date:	07/13/2012
Allegations:	NON SECURITIES RELATED. REGISTERED REP SUBMITTED INACCURATE MILEAGE REIMBURSEMENT REQUESTS.
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	MYERS POLLOCK ROBBINS, INC.
Termination Type:	Voluntary Resignation
Termination Date:	10/01/1994
Allegations:	INTERNAL REVIEW BEGAN IN 8/1994 REGARDING THE FOLLOWING: MR. ZUCKERBERG WAS GIVEN TO BELIEVE THAT THE COMPANY HAD SECURED THE NECESSARY DOCUMENTS FOR HIM TO SERVICE CLIENTS IN ALL STATES IN WHICH THE EMPLOYER WAS DOING BUSINESS. IT WAS ONLY AFTER THE TRADE THAT HE FOUND OUT THAT HE WAS NOT LICENSED IN THE JURISDICTION. WHY THE EMPLOYER HAD NOT GOTTEN MR. ZUCKERBERG THE NECESSARY PAPERS IS UNKNOWN AT THIS TIME, AND THE EMPLOYER IS NO LONGER IN BUSINESS AND EVIDENTLY IMPOSSIBLE TO LOCATE.
Product Type:	Other
Other Product Types:	BROKERAGE ACCOUNT
Broker Statement	I WAS TOLD BY MY MANAGER THAT I WAS REGISTERED IN THE STATE OF NC BUT IN FACT WAS NOT. I DID NOT SELL OR ATTEMPT TO SELL SECURITIES TO INDIVIDUALS IN STATES WHERE I WAS NOT REGISTERED. THE CLIENTS IN QUESTION WERE ONLY CUSTOMERS OF MINE WHEN I WAS REGISTERED IN NC WITH MY PRIOR BROKER/DEALER A.S. GOLDMEN & CO.

End of Report

This page is intentionally left blank.