



IAPD Report

GEORGE NELSON RIDINGS

CRD# 2365861

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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

GEORGE NELSON RIDINGS (CRD# 2365861)

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 **07/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	09/17/1993
IA	EAGLE STRATEGIES LLC	CRD# 110826	02/17/2000

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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
Judgment/Lien	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 **19** 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	09/17/1993
B Alabama	Agent	Approved	01/02/2020
B California	Agent	Approved	05/30/2017
B Colorado	Agent	Approved	03/15/2001
B Florida	Agent	Approved	11/08/1999
B Georgia	Agent	Approved	03/26/1996
B Indiana	Agent	Approved	02/06/2007
B Kentucky	Agent	Approved	09/21/1993
B Louisiana	Agent	Approved	03/12/2012
B Michigan	Agent	Approved	09/11/2025
B Mississippi	Agent	Approved	03/19/2015
B North Carolina	Agent	Approved	03/20/2023
B Ohio	Agent	Approved	03/20/2015



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	09/22/2020
B Oregon	Agent	Approved	12/08/2016
B South Carolina	Agent	Approved	01/07/2014
B Tennessee	Agent	Approved	04/19/2023
B Texas	Agent	Approved	08/09/2023
B Virginia	Agent	Approved	03/12/2012
B West Virginia	Agent	Approved	10/20/2011

Branch Office Locations

920 BARNES MILL RD SUITE C
RICHMOND, KY 40476

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 Kentucky	Investment Adviser Representative	Approved	02/17/2000

Branch Office Locations

EAGLE STRATEGIES LLC
920 BARNES MILL RD
SUITE C
RICHMOND, KY 40476



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/15/1993

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/23/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1993

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
06/2006 - Present	EAGLE STRATEGIES LLC	REGISTERED INVESTMENT ADVISOR	Y	RICHMOND, KY, United States
12/2004 - Present	RIDINGS INSURANCE AND FINANCIAL SERVICES, LTD	OWNER	Y	LOUISVILLE, KY, United States
06/1993 - Present	NYLIFE SECURITIES INC.	NOT PROVIDED	Y	LEXINGTON, KY, United States
06/1993 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT - Agent	N	LEXINGTON, KY, 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.

[APPOINTED WITH VARIOUS OUTSIDE INSURANCE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS UNDER THE DBA RIDINGS INSURANCE AND FINANCIAL SERVICES, LTD]

[NYLARC; NYLARC; 210 PARK AVENUE 2ND FLOOR, FLORHAM PARK, NJ 07932; Start Date 07/2018; Role/Title: Investor; Investment Related; 0 hours per month; 0 hours per month during securities trading hours]

[Kentucky Chemical Demilitarization Citizens' Advisory Commission (CAC); Blue Grass Chemical Stockpile Outreach Office, 1000 Commercial Drive, Suite 2, Richmond, KY 40475; Start Date 07/2018; Role/Title: Member; Not Investment Related; 5 hours per month; 3 hours per month during securities trading hours]

[Bluegrass Area Development District - Tourism, Historic Preservation and Recreation Committee; Development of recreational opportunities (this can include RTP and LWCF grants), promoting tourist attractions and preserving the historic heritage of the Bluegrass region are the primary goals of THRAC.; 699 Perimeter Drive, Lexington, KY 40517; Start Date 07/2020; Role/Title: Committee Member; Not Investment Related; 3 hours per month; 3 hours per month during securities trading hours; I am one of 3 members from my county and represent us and network with members from the other 16 counties to share information about the scope of projects here and in the region. Members vote on and provide input on grant requests to the larger BGADD;]

[Richmond KY Exchange Club; Member and Zoom Meetings Coordinator. The Richmond Exchange Club is an affiliate of the National Exchange Club - I joined the club in 2019. We collect dues and support local non-profit organizations.; 113 CASTLEWOOD DR, RICHMOND, KY, 40475; Start Date 01/2022; Role/Title: Member; Not Investment Related; 5 hours per month; 0 hours per month during securities trading hours; host meetings]



Registration & Employment History



OTHER BUSINESS ACTIVITIES

[Battle of Richmond Association; provides activities for Battlefield Park in Richmond, KY, site of 2nd largest Civil War battle in KY.; 101 Battlefield Memorial Highway, Richmond, KY 40475; Start Date 01/2022; Role/Title: Volunteer; Not Investment Related; 4 hours per month; 1 hours per month during securities trading hours; President - give guidance and preside over meetings and planning sessions]

[Kentucky State NAIFA ; State NAIFA Board and President for 2024. NAIFA is national professional association and I've been a national member since 1993; will serve as State President in 2024.; 12730 Townepark Way, #202, Louisville, Kentucky 40243; Start Date 01/2024; Role/Title: President; Investment Related; 5 hours per month; 3 hours per month during securities trading hours][Kentucky Civil War Round Table; dedicated to preserving and presenting the history of the American Civil War; No office or permanent address; Start Date 04/2024; Role/Title: Board Member; Not Investment Related; 4 hours per month; 0 hours per month during securities trading hours; newsletter editor][Kentucky Military History Museum ; The KMHM served as the state arsenal for over 100 years and as a Civil War era munitions factory. Today it houses important artifacts and hosts educational tours and events.; 125 East Main Street, Frankfort, KY 40601; Start Date 06/2024; Role/Title: Board Member; Not Investment Related; 4 hours per month; 3 hours per month during securities trading hours; Board Member to represent the Richmond KY Battlefield Friends group (Battle of Richmond Association) and for facilitation of statewide and national Civil War and military history connections and dissemination of information.]



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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Services
Judgment/Lien Amount:	\$353,004.46
Judgment/Lien Type:	Tax
Date Filed with Court:	04/29/2025
Date Individual Learned:	05/15/2025
Type of Court:	Internal Revenue Services
Name of Court:	Internal Revenue Services
Location of Court:	Detroit, Michigan
Judgment/Lien Outstanding?	Yes
Broker Statement	Tax Year 2018, 2019, 2020, 2021, and 2022.



End of Report

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