



IAPD Report

JOSEPH ANGELO AUTERI

CRD# 2390615

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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

JOSEPH ANGELO AUTERI (CRD# 2390615)

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 **04/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	10/10/1994
IA	EAGLE STRATEGIES LLC	CRD# 110826	05/08/2001

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	1
Financial	5



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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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
	Florida	Investment Adviser Representative	Approved	01/09/2025
	Texas	Investment Adviser Representative	Restricted Approval	09/14/2022

Branch Office Locations

EAGLE STRATEGIES LLC
APOLLO BEACH, FL

Employment 2 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
	FINRA	Invest. Co and Variable Contracts	Approved	10/10/1994
	California	Agent	Approved	05/26/1995
	Colorado	Agent	Approved	10/27/2022
	Delaware	Agent	Approved	11/09/2022
	Florida	Agent	Approved	10/01/2012



Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	09/10/2015
B	Illinois	Agent	Approved	06/07/2019
B	Maine	Agent	Approved	10/04/2022
B	Maryland	Agent	Approved	11/16/2022
B	Massachusetts	Agent	Approved	02/11/2020
B	Minnesota	Agent	Approved	09/02/2022
B	New Jersey	Agent	Approved	10/19/1994
B	New York	Agent	Approved	09/08/2022
B	Pennsylvania	Agent	Approved	10/10/1994
B	Texas	Agent	Approved	09/02/2022
B	Vermont	Agent	Approved	09/21/2022
B	Virginia	Agent	Approved	10/25/2022
B	Washington	Agent	Approved	06/12/2023
B	Wisconsin	Agent	Approved	09/20/2022

Branch Office Locations

APOLLO BEACH, FL



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/07/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/07/2001
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/16/1994



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](#).



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
04/2019 - Present	TRADECRAFT FINANCIAL GROUP LLC	OWNER	Y	Apollo Beach, FL, United States
08/1993 - Present	NYLIFE SECURITIES INC.	NOT PROVIDED	Y	BALA CYNWYD, PA, United States
01/2013 - 05/2020	BERARDI & AUTERI, LLC	OWNER	Y	DREXEL HILL, PA, 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.

[INSURANCE BROKERING; APPOINTED WITH VARIOUS OUTSIDE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED OUTSIDE INSURANCE PRODUCTS; INVESTMENT RELATED; INSURANCE BROKER; START DATE 05/2003]

[DREXEL UNIVERSITY LE BOW COLLEGE OF BUSINESS; 555 E. CITY AVENUE, BALA CYNWYD, PA 19004; ADJUNCT PROFESSOR / TEACHER - PROFESSOR; WAGES; 2515 GARRETT ROAD DREXEL HILL, PA 19026; OWNER; 10 HOURS A WEEK; NON INVESTMENT RELATED]

[RAMSEY EDUCATIONAL DEVELOPMENT INSTITUTE; NON-PROFIT ORGANIZATION; DIRECTOR; COMPENSATION: NONE; 555 E. CITY AVENUE, BALA CYNWYD, PA 19004; 610-660-7671; 2 HOURS QUARTERLY]

[OPERATING UNDER THE DBA NAME OF TRADECRAFT FINANCIAL GROUP LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS and hold his outside brokerage account held at Fidelity; INVESTMENT RELATED; OWNER; APOLLO BEACH FL; START DATE: 04/2019]

[Cryptocurrency Investment; I will invest a small amount of money (\$1,000) as a passive investment in a Crypto Currency and a FOREX Currency.; 1833 Montgomery Avenue Villanova, PA 19085-1816; Start Date 05/2020; Role/Title: Owner; Not Investment Related; 2 hours per month; 0 hours per month during securities trading hours; passive investor]

[Ripple Labs; Ripple Labs is a technology company that builds and designs payment systems for the banking industry.; San Francisco, CA; Start Date 04/2022; Role/Title: Investor; Investment Related; 1 hours per month; 1 hours per month during securities trading hours; passive investor]



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	1
Financial	5

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	CUSTOMER ALLEGES AUTOMATIC QUARTERLY ASSET REALLOCATIONS FROM A CASH MANAGEMENT TO A GROWTH PORTFOLIO WERE NOT EXECUTED IN HER VARIABLE ANNUITY POLICY STARTING IN JULY 2011.
Product Type:	Annuity-Variable
Alleged Damages:	\$18,809.78
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:	07/30/2013
Complaint Pending?	No
Status:	Denied
Status Date:	08/16/2013
Settlement Amount:	



**Individual Contribution
Amount:**



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 07/31/2020

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 06/30/2022

If a compromise with creditor, provide:

Name of Creditor: Second Round (Comenity Bank)

Original Amount Owed: \$5,259.49

Terms Reached with Creditor: RR agreed to a reduced amount of \$2,208.99 to be paid via 24 settlement payments that included monthly payments of \$94.79.

Disclosure 2 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 05/31/2020

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/29/2022

If a compromise with creditor, provide:

Name of Creditor: MCM2 (Ollio)

Original Amount Owed: \$2,770.28

Terms Reached with Creditor: RR agreed to a reduced amount of \$1,385.14 to be paid via 23 settlement payments that included monthly payments of \$60.

Disclosure 3 of 5

Reporting Source: Individual

Action Type: Compromise



Action Date: 11/30/2019

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 10/29/2021

If a compromise with creditor, provide:

Name of Creditor: Glass Mountain Capital GMC Credit Services (Lending Club)

Original Amount Owed: \$35,704.02

Terms Reached with Creditor: RR agreed to a reduced amount of \$16,066.81 to be paid via 24 settlement payments that included monthly payments of \$696.38 as well as a one-time \$50 payment.

Disclosure 4 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/28/2021

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 06/23/2022

If a compromise with creditor, provide:

Name of Creditor: CKS Financial - Velocity (Prosper)

Original Amount Owed: \$22,759.14

Terms Reached with Creditor: RR agreed to a reduced amount of \$10,241.61 to be paid via 17 settlement payments that included monthly payments of \$341.38.

Disclosure 5 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 01/08/2021

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 06/21/2022



**If a compromise with creditor,
provide:**

Name of Creditor: Cavalry SPV, LLC

Original Amount Owed: \$11,615.60

Terms Reached with Creditor: The creditor agrees to accept the sum of \$9292.48 as a full settlement. The RR agrees to remit payment in the following manner:
A. \$227.48 to be paid on or before January 15, 2021.
B. \$259.00 to be paid on or before the 15th day of each month, beginning February 15, 2021 until paid in full.



End of Report

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