



IAPD Report

TIMOTHY WAYNE THOMAS

CRD# 3125492

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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

TIMOTHY WAYNE THOMAS (CRD# 3125492)

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 **09/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	03/31/2003
IA	EAGLE STRATEGIES LLC	CRD# 110826	07/12/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
IA	EAGLE STRATEGIES CORP	110826	NEW ORLEANS, LA	05/22/2003 - 05/30/2003
IA	UBS PAINWEBBER INC.	8174	LOS ANGELES, CA	01/27/1999 - 02/26/2003
B	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	12/24/1998 - 02/26/2003

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
Criminal	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 **20** 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	03/31/2003
B	Alabama	Agent	Approved	02/28/2006
B	Arkansas	Agent	Approved	03/07/2005
B	California	Agent	Approved	04/02/2003
B	Colorado	Agent	Approved	12/16/2024
B	Florida	Agent	Approved	05/03/2004
B	Georgia	Agent	Approved	06/15/2007
B	Illinois	Agent	Approved	08/02/2016
B	Indiana	Agent	Approved	05/23/2023
B	Kentucky	Agent	Approved	04/17/2018
B	Louisiana	Agent	Approved	04/02/2003
B	Mississippi	Agent	Approved	06/14/2004
B	Missouri	Agent	Approved	06/02/2025



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	05/23/2011
B New York	Agent	Approved	06/29/2007
B North Carolina	Agent	Approved	04/19/2018
B Oklahoma	Agent	Approved	10/01/2025
B Oregon	Agent	Approved	04/03/2020
B Tennessee	Agent	Approved	05/12/2026
B Texas	Agent	Approved	07/28/2008
B Virginia	Agent	Approved	01/04/2023

Branch Office Locations

3333 W NAPOLEON AVE
SUITE 200
METAIRIE, LA 70001

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	07/12/2006
IA Texas	Investment Adviser Representative	Restricted Approval	07/10/2012

Branch Office Locations

EAGLE STRATEGIES LLC
3333 W NAPOLEON AVE



Qualifications

SUITE 200
METAIRIE, LA 70001



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
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B General Securities Representative Examination (S7)	Series 7	12/22/1998
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/15/1998
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B Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/1998
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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
IA	05/22/2003 - 05/30/2003	EAGLE STRATEGIES CORP	CRD# 110826	NEW ORLEANS, LA
IA	01/27/1999 - 02/26/2003	UBS PAINWEBBER INC.	CRD# 8174	LOS ANGELES, CA
B	12/24/1998 - 02/26/2003	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	12/24/1998 - 01/07/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ

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
10/2003 - Present	THOMAS FINANCIAL GROUP LLC	MEMBER	Y	METAIRIE, LA, United States
02/2003 - Present	NEW YORK LIFE INS. CO	AGENT	Y	NEW ORLEANS, LA, 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 CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; START DATE 6/2003]

[THOMAS FINANCIAL GROUP, LLC; PARTNER; INVESTMENT RELATED; START DATE 10/2003; DBA USED FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS]

[THOMAS GRANDCHILDRENS TRUST; OWNS REAL ESTATE THAT IS RENTED OUT; 3333 W. NAPOLEON AVE, #200, METAIRIE, LA 70001; START DATE: 05/2003; ROLE/TITLE: OWNER; INVESTMENT RELATED]

[T & A THOMAS PROPERTIES, LLC; RENTAL PROPERTY; OWNER; COMPENSATION RENTAL INCOME; INVESTMENT RELATED; 3333 WEST NAPOLEON AVENUE, SUITE 200, METAIRIE, LA 70001; START DATE 04/2015; 8 HOURS PER MONTH; 2 HOURS PER MONTH DURING TRADING HOURS]

[CLEARY @ WEST NAPOLEON, L.L.C.; MY FAMILY OWNS AND RENTS OUT THE LAND THAT A GASS STATION SITS ON. TRIPLE NET LEASE.; 3333 W. NAPOLEON AVE., STE. 200, METAIRIE, LA 70001; START DATE 05/2015; ROLE/TITLE: CO-MANAGER; INVESTMENT RELATED; 1 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS; COMPENSATION: NONE]



Registration & Employment History



OTHER BUSINESS ACTIVITIES

[JOCKO INVESTMENTS TWO, LLC; THIS ENTITY WILL OWN FAMILY VACATION PROPERTY IN ANOTHER STATE.; 3333 WEST NAPOLEON AVENUE, SUITE 200, METAIRIE, LA 70001; START DATE 08/2015; ROLE/TITLE: PARTNER; INVESTMENT RELATED; 5 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[Tim Thomas Consulting; Working with NYL agents in other offices on Best Practices, Avoiding Compliance Pitfalls, and Motivational Coaching. Initially, this will be in the offices of John Schwan and Taylor Sledge; 3333 W Napoelon Ave, Suite 200, Metairie, LA 70001; Start Date 08/2017; Role/Title: Consultant; Investment Related; 12 hours per month; 10 hours per month during securities trading hours]

[New Orleans Estate Planning Council; financial services education; P.O. Box 750357 · New Orleans, LA 70175; Start Date 07/2021; Role/Title: Board Member; Investment Related; 5 hours per month; 0 hours per month during securities trading hours;organizing educational meetings and asking members to present on current topics]

[Thomas WNOB LLC; My family owns 1/2 of the building where myself and agents Wayne Thomas, Kent Griener, David Trepagnier, and Earl Weiser work. We rent out the first floor. I was added on as a co-manager in case something happens to my dad; 3333 W Napoleon Avenue #200, Metairie, LA 70001; Start Date 08/2024; Role/Title: co-manager; Investment Related; 0 hours per month; 0 hours per month during securities trading hours]



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
Criminal	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:	Individual
Regulatory Action Initiated By:	STATE OF PA DENIED AN INSURANCE LICENSE B/C STILL ON PROBATION FROM A MISDEMEANOR PUBLIC INTOXICATION ARREST
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	02/20/2002
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	USB PAINE WEBBER
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ON PROBATION FROM MISDEMEANOR DESCRIBED IN QUESTION # 1. CANNOT REAPPLY UNTIL PROBATION ENDS 03/24/2003. PROBATION HAS ENDED
Current Status:	Final
Resolution:	Other
Resolution Date:	02/20/2002
Sanctions Ordered:	
Other Sanctions Ordered:	DENIED LICENSE
Sanction Details:	N/A



Broker Statement

STATE OF PENNSYLVANIA SAID TO REAPPLY ONCE PROBATION ENDED.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	HERMOSA BEACH, CA; LOS ANGELES, CA; NO CASE OR DOCKET NUMBER BECAUSE THE CASE NEVER WENT TO COURT.
Charge Date:	05/07/2002
Charge Details:	243E CA PENAL CODE (NON-COHABITANT BATTERY); 1 - 1 COUNT; 2 - FELONY; 3 NO PLEA - CHARGES DROPPED; 4 - NOT INVESTMENT RELATED.
Felony?	Yes
Current Status:	Final
Status Date:	05/15/2003
Disposition Details:	A-CHARGES DROPPED/CASE DISMISSED; B-5/15/03; C-N/A - CASE DISMISSED BEFORE WENT TO COURT; D-NO SENTENCE-CASE DISMISSED; E-N/A-SEE ABOVE; F-N/A - SEE ABOVE; G-N/A - SEE ABOVE.
Broker Statement	5/15/02 THE CITY ATTORNEY DISMISSED CHARGE. CASE WAS SEALED BY THE TORRANCE COURT, HERMOSE BEACH, CA. ALL KNOWN DOCUMENTATION ON CASE HAS BEEN SUBMITTED TO NYLIFE SECURITIES.



End of Report

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