



IAPD Report

Richard Alan Hoberman

CRD# 4299250

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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

Richard Alan Hoberman (CRD# 4299250)

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	07/11/2018
IA	EAGLE STRATEGIES LLC	CRD# 110826	08/20/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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 LLC	110826	STRATFORD, CT	04/13/2011 - 09/09/2016
B	NYLIFE SECURITIES LLC	5167	STRATFORD, CT	06/11/2002 - 09/09/2016
B	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH	11/22/2000 - 07/05/2002

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
Financial	1
Judgment/Lien	8



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 2 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
IA New York	Investment Adviser Representative	Approved	09/29/2025

Branch Office Locations

EAGLE STRATEGIES LLC
420 LEXINGTON AVE
14 AND 15 FLOORS
NEW YORK, NY 10170

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
B FINRA	General Securities Principal	Approved	07/11/2018
B FINRA	General Securities Representative	Approved	07/11/2018
B FINRA	Invest. Co and Variable Contracts	Approved	07/11/2018
B Connecticut	Agent	Approved	07/12/2018
B New York	Agent	Approved	08/07/2018



Qualifications

Branch Office Locations

420 LEXINGTON AVENUE
14TH & 15TH FLOOR
NEW YORK, NY 10170




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/01/2004

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/24/2004
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/21/2000

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	01/28/2011
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/2000

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	04/13/2011 - 09/09/2016	EAGLE STRATEGIES LLC	CRD# 110826	STRATFORD, CT
B	06/11/2002 - 09/09/2016	NYLIFE SECURITIES LLC	CRD# 5167	STRATFORD, CT
B	11/22/2000 - 07/05/2002	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH

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
08/2018 - Present	EAGLE STRATEGIES LLC	IAR	Y	NEW YORK, NY, United States
07/2018 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
06/2002 - Present	NEW YORK LIFE INSURANCE COMPANY	Corporate Vice President	Y	NEW YORK, NY, United States
04/2011 - 09/2016	EAGLE STRATIGIES LLC	MANAGING PARTNER	Y	STRAFFORD, CT, United States
06/2002 - 09/2016	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	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
Financial	1
Judgment/Lien	8

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 1

Reporting Source: Individual
Action Type: Compromise
Action Date: 11/08/2018

Organization Investment-Related?

Action Pending? No

Disposition: Short Sale

Disposition Date: 11/13/2018

If a compromise with creditor, provide:

Name of Creditor: Planet home Lending

Original Amount Owed: \$933,346.01

Terms Reached with Creditor: The creditor agreed on a short sale payoff of \$712,000 to discharge a mortgage lien.



Judgment/Lien

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

Disclosure 1 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$35,769.46
Judgment/Lien Type: Tax
Date Filed with Court: 02/06/2024
Date Individual Learned: 02/15/2024
Type of Court: Register Office
Name of Court: Register Office
Location of Court: New Your County, NY
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2022

Disclosure 2 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$24,404.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/21/2017
Date Individual Learned: 03/21/2017
Type of Court: Recorder Office
Name of Court: Recorder Office
Location of Court: Westport Town Clerk, CT
Docket/Case #: BK2773PG230
Judgment/Lien Outstanding? Yes

Disclosure 3 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$26,144.00
Judgment/Lien Type: Tax
Date Filed with Court: 12/12/2017
Date Individual Learned: 12/12/2017
Type of Court: Recorder Office
Name of Court: Recorder Office



Location of Court: Westport Town Clerk, CT
Docket/Case #: BK3831PG215
Judgment/Lien Outstanding? Yes

Disclosure 4 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$40,416.00
Judgment/Lien Type: Tax
Date Filed with Court: 02/21/2012
Date Individual Learned: 02/21/2012
Type of Court: Westport Town Clerk
Name of Court: Westport Town Clerk
Location of Court: Westport, CT
Docket/Case #: BK3279PG196
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2010

Disclosure 5 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$33,171.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/30/2013
Date Individual Learned: 04/30/2013
Type of Court: Fairfield Town Clerk
Name of Court: Fairfield Town Clerk
Location of Court: Fairfield, CT
Docket/Case #: BK4983PG262
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2011

Disclosure 6 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$18,544.00
Judgment/Lien Type: Tax
Date Filed with Court: 01/07/2014



Date Individual Learned: 01/07/2014
Type of Court: Westport Town Clerk
Name of Court: Westport Town Clerk
Location of Court: Westport, CT
Docket/Case #: BK3498PG288
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2012

Disclosure 7 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$13,056.00
Judgment/Lien Type: Tax
Date Filed with Court: 07/13/2015
Date Individual Learned: 07/13/2015
Type of Court: Westport Town Clerk
Name of Court: Westport Town Clerk
Location of Court: Westport, CT
Docket/Case #: BK3627PG241
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2013

Disclosure 8 of 8

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$21,244.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/16/2016
Date Individual Learned: 03/16/2016
Type of Court: Fairfield Town Clerk
Name of Court: Fairfield Town Clerk
Location of Court: Fairfield, CT
Docket/Case #: BK5379PG130
Judgment/Lien Outstanding? Yes
Broker Statement Tax Year 2014



End of Report

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