



IAPD Report

DAVID PODELL

CRD# 4546161

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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

DAVID PODELL (CRD# 4546161)

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 **02/04/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA PODELL FINANCIAL GROUP LLC	CRD# 325383	05/18/2023

QUALIFICATIONS

This representative is currently registered in **0** 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	FAIRFIELD, NJ	04/25/2006 - 06/14/2023
B NYLIFE SECURITIES LLC	5167	FAIRFIELD, NJ	05/07/2003 - 06/14/2023

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
Criminal	1
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PODELL FINANCIAL GROUP LLC**
Main Address: 271 ROUTE 46W
SUITE D105
FAIRFIELD, NJ 07004
Firm ID#: 325383

	Regulator	Registration	Status	Date
	New Jersey	Investment Adviser Representative	Approved	05/18/2023
	Texas	Investment Adviser Representative	Restricted Approval	02/06/2025

Branch Office Locations

PODELL FINANCIAL GROUP LLC
271 ROUTE 46W
SUITE D105
FAIRFIELD, NJ 07004



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 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams



Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	11/13/2002
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	01/28/2003
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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	04/25/2006 - 06/14/2023	EAGLE STRATEGIES LLC	CRD# 110826	FAIRFIELD, NJ
B	05/07/2003 - 06/14/2023	NYLIFE SECURITIES LLC	CRD# 5167	FAIRFIELD, NJ

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
05/2006 - Present	PODELL FINANCIAL GROUP LLC	OWNER	Y	SADDLE BROOK, NJ, United States
05/2003 - 05/2023	NYLIFE SECURITIES	AGENT	Y	SADDLE BROOK, NJ, United States
03/2003 - 05/2023	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	SADDLE BROOK, NJ, 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 OUTSIDE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS; DBA PODELL FINANCIAL GROUP, LLC.; INVESTMENT RELATED; START DATE 05/2006]

[Business Benefits Consulting LLC; fee for service benefits consulting with business owners. Reviewing all aspects of their business and systems for a fee for service; 271 US 46W Suite D105 Fairfield NJ 07004; Start Date 12/2019; Role/Title: Owner; Not Investment Related; 15 hours per month; 10 hours per month during securities trading hours]

[TSP HOLDINGS LLC; 271 RT 46, UNITE D105, FAIRFIELD, NJ; 11/01/2013; OWNER - RENTAL INCOME; BUYING THE CONDO UNIT AND MOVING MY OFFICE THERE. THERE WILL BE NO OTHER TENANTS.]

[NYLARC PRIVATE PLACEMENT; CREATED BY NYLARC - REINSURANCE SUBSCRIPTION TO OFFERING OF PRIVATE PLACEMENT AFFILIATED WITH NYLIFE; NYLARC C/O NYLIFE , ROOM 102, NEW YORK NY 10010; START DATE 09/2014; ROLE/TITLE: INVESTOR; NOT INVESTMENT RELATED; 0 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[SKY PROPERTIES, LLC; TO HOLD A RENTAL PROPERTY OR MULTIPLE PROPERTIES; 154 COMBS HOLLOW RD. RANDOLPH NJ 07869; START DATE 06/2015; ROLE/TITLE: OWNER; INVESTMENT RELATED; 1 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[Forbes Finance Council; networking organization-This is an online connection through forbes that allows its members to submit



Registration & Employment History



OTHER BUSINESS ACTIVITIES

articles to forbes ; Start Date 04/2018; Role/Title: Member; Not Investment Related; 1 hours per month; 1 hours per month during securities trading hours]

[Ldor Vador LLC; will hold rental properties; 154 Combs Hollow Rd. Randolph NJ 07869; Start Date 02/2022; Role/Title: Owner; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours]

[Town of Randolph Board of Assessments for local improvements; Review items with the board and discuss with the town tax assessor ; Township of Randolph - 502 Milbrook Ave, Randolph NJ 07869; Start Date 02/2023; Role/Title: Volunteer; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours]

[DMP Joint Ventures NJ, LLC, not investment-related; Randolph, NJ; Passive investor in business and real estate; Start Date: 6/2024; Approximately 1 hr/mo during trading hours; Review and meet on the investment status once per quarter.]



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
Criminal	1
Customer Dispute	1

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
Court Details:	DISTRICT COURT OF NASSAU COUNTY, NEW YORK STATE, DOCKET #04654/99
Charge Date:	02/27/1999
Charge Details:	1) POSS FORGED INSTRUMENT 2ND DEGREE - FELONY 2) UNAUTHORIZED USE VEHICLE 3RD DEGREE - MISDEMEANOR
Felony?	Yes
Current Status:	Final
Status Date:	05/07/1999
Disposition Details:	PLEADED GUILTY TO DISORDERLY CONDUCT. PAID A \$250.00 FINE AND \$26.33 IN RESTITUTION ON 05/07/1999.
Broker Statement	I WAS IN A CAR WITH FRIENDS. WE DROVE FROM THE BAR TO THE SCHOOL ABOUT 1/4 MILE OR LESS. I WAS UNAWARE THAT THE CAR DID NOT BELONG TO THE DRIVER. THE POLICE SEARCHED US AND WE HAD FAKE ID'S IN OUR POSSESSION THAT WE HAD USED TO GET INTO THE COLLEGE BARS I WENT THROUGH THE COURT PROCEEDINGS AND THE FINAL OUTCOME WAS DECIDED AS A NON-CRIMINAL OFFENSE. THIS WAS A VIOLATION OF DISORDERLY CONDUCT.



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: NY LIFE SECURITIES LLC

Allegations: WITH REGARD TO A VARIABLE UNIVERSAL LIFE PURCHASED IN DECEMBER 2005, CUSTOMER ALLEGES THAT THE AGENT INFORMED HIM THAT HIS PREMIUMS WOULD BE TAX DEDUCTIBLE. CUSTOMER FURTHER ALLEGES THAT HE WAS NOT TOLD THAT PART OF HIS PREMIUMS WOULD BE USED TO PAY FOR THE COST INSURANCE. CUSTOMER MAINTAINS THAT HE WAS UNAWARE THAT THE CASH VALUE WAS USED TO PAY THE PREMIUMS.

Product Type: Insurance

Alleged Damages: \$42,000.00

Customer Complaint Information

Date Complaint Received: 01/26/2009

Complaint Pending? No

Status: Denied

Status Date: 02/10/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement BASED ON THE COMPANY'S GOOD FAITH ESTIMATE IT WAS DETERMINED THAT THE COMPENSATORY DAMAGES COULD BE MORE THAN \$5000.



End of Report

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