IAPD Report

DARLENE JOY HATHAWAY

CRD# 4584422

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

DARLENE JOY HATHAWAY (CRD# 4584422)

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 **09/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	01/13/2003
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/16/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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

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
Regulatory Event	1
Customer Dispute	2

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 **13** 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	01/13/2003
B	Alaska	Agent	Approved	03/05/2008
B	Arizona	Agent	Approved	01/09/2004
B	California	Agent	Approved	08/13/2009
B	Colorado	Agent	Approved	04/23/2009
B	Idaho	Agent	Approved	04/30/2004
B	Maryland	Agent	Approved	06/10/2015
B	Montana	Agent	Approved	04/26/2018
B	Oklahoma	Agent	Approved	01/31/2017
B	Oregon	Agent	Approved	01/29/2003
B	Tennessee	Agent	Approved	10/02/2020
B	Texas	Agent	Approved	06/05/2014
B	Washington	Agent	Approved	01/13/2003

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	11/13/2013

Branch Office Locations

8836 W Gage Blvd
Suite 202A
Kennewick, WA 99336

116 N COURT ST
LOT 2
GLENWOOD, WA 98619

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	Washington	Investment Adviser Representative	Approved	06/16/2008

Branch Office Locations

EAGLE STRATEGIES LLC
116 N COURT ST
LOT 2
GLENWOOD, WA 98619

EAGLE STRATEGIES LLC
8836 W Gage Blvd
Suite 202A
Kennewick, WA 99336

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
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	01/10/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/2002

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
06/2008 - Present	EAGLE STRATEGIES LLC	IAR	Y	KENNEWICK, WA, United States
10/2002 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	YAKIMA, WA, United States
05/2002 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	KENNEWICK, WA, 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; 1009 N CENTER PARKWAY SUITE 200, KENNEWICK, WA 99336; APPOINTED WITH VARIOUS OUTSIDE INSURANCE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS.]

[Rental Property; renting one home out and leasing part of the land for grazing and farming part of the land.; 1807 BZ Glenwood HWY Glenwood Wa 98619; Start Date 06/2016; Role/Title: Owner; Not Investment Related; 32 hours per month; 0 hours per month during securities trading hours]

[Darlene Hathaway Farm; I own 80 acres of farm land. Part rented out for cattle, others acres used for growing and selling crops; 1807 BZ Glenwood Hwy, Glenwood WA 98619; Start Date 10/2017; Role/Title: Owner; Not Investment Related; 20 hours per month; 0 hours per month during securities trading hours]

[Glenwood Rodeo Association; purpose of this association is to insure there are funds available to continue the Glenwood Traditional Rodeo on a yearly basis.; 61 Trout Lake Glenwood Wa 98619; Start Date 04/2021; Role/Title: Board Member; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours; hold liquor license for the beer garden for the Rodeo]

[Little Mt. Adams RV Park LLC; This is a RV park and office building with two office spaces which I am doing business in one of the offices.; 116 N Court St Glenwood Wa 98619; Start Date 09/2021; Role/Title: Owner; Not Investment Related; 2 hours per month; 0 hours per month during securities trading hours]

[Hell Roaring Irrigation Company; The Hell Roaring Irrigation Company work for the members who have water shares in the Glenwood Valley in Glenwood Washington.; P.O. Box 45, Glenwood Wa 98619; Start Date 08/2022; Role/Title: President; Not Investment Related; 1 hours per month; 0 hours per month during securities trading hours; conducts the board meetings.]

[Mt Adams Off Road Park LLC; I facilitate the paperwork as well as the record keeping, My fiancé owns the LLC Edward Murray

Registration & Employment History

OTHER BUSINESS ACTIVITIES

and has no computer skills or paperwork skills; The LLC leases my property for the event, my name is on their insurance as additional insured.; 1807 BZ Glenwood Hwy Glenwood WA 98619 and P.O. Box 1 Glenwood WA 98619; Start Date 08/2022; Role/Title: Volunteer; Not Investment Related; 2 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
Customer Dispute	2

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 WASHINGTON OFFICE OF INSURANCE COMMISSIONER
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/13/2011
Docket/Case Number:	11-0202
Employing firm when activity occurred which led to the regulatory action:	NYLIFE SECURITIES LLC
Product Type:	Insurance
Allegations:	IN APRIL 2009 DARLENE SCHRANK, WHILE ACTING AS AN AGENT WITH NEW YORK LIFE INSURANCE COMPANY, MET WITH TWO CONSUMERS TO REPLACE THEIR EXISTING NEW YORK LIFE ANNUITY POLICIES. FOLLOWING COMPLETION OF THE APPLICATIONS, MS. SCHRANK FAILED TO LEAVE EACH OF THE CONSUMERS WITH A NOTICE OF REPLACEMENT FORM AS REQUIRED BY WAC 284-23-440(2).
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	09/13/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	09/08/2011
Was any portion of penalty waived?	No
Amount Waived:	

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES, LLC
Allegations:	CUSTOMER ALLEGED THAT THE SURRENDER CHARGE PERIOD OF THE VARIABLE ANNUITY POLICY THAT HE PURCHASED IN OR ABOUT MARCH 2008 WAS NOT DISCLOSED TO HIM.
Product Type:	Annuity-Variable
Alleged Damages:	$8,251.38
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:	11/07/2011
Complaint Pending?	No
Status:	Denied
Status Date:	12/09/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	WITH REGARDS TO THE PURCHASE OF A VARIABLE ANNUITY POLICY IN OR AROUND APRIL 2007, THE CUSTOMER ALLEGES THE AGENT SOLD HER A POLICY THAT WAS UNSUITABLE AND DUE TO THE COMPLEXITY OF THE PRODUCT, SHE DID NOT FULLY UNDERSTAND THE INVESTMENTS. THE CUSTOMER ALSO ALLEGES THAT THE AGENT DID NOT ACT IN THE BEST INTEREST OF HER CLIENT.
Product Type:	Annuity-Variable
Alleged Damages:	$122,321.59
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:	01/21/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/10/2010
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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