



IAPD Report

CHIEN KAIN YEH

CRD# 4777090

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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

CHIEN KAIN YEH (CRD# 4777090)

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 **08/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	07/20/2011
IA	EAGLE STRATEGIES LLC	CRD# 110826	08/23/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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
B	WELLS FARGO ADVISORS, LLC	19616	SACRAMENTO, CA	01/03/2011 - 03/08/2011
IA	WELLS FARGO ADVISORS, LLC	19616	SACRAMENTO, CA	01/03/2011 - 03/08/2011
IA	WELLS FARGO INVESTMENTS, LLC	10582	SACRAMENTO, CA	08/30/2004 - 01/03/2011

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
Termination	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 **22** 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	07/20/2011
B	Arizona	Agent	Approved	01/12/2024
B	Arkansas	Agent	Approved	05/12/2026
B	California	Agent	Approved	07/20/2011
B	Colorado	Agent	Approved	07/10/2019
B	Florida	Agent	Approved	09/01/2023
B	Hawaii	Agent	Approved	03/10/2025
B	Idaho	Agent	Approved	08/18/2026
B	Illinois	Agent	Approved	01/15/2026
B	Maryland	Agent	Approved	08/22/2023
B	Massachusetts	Agent	Approved	03/17/2025
B	Michigan	Agent	Approved	01/06/2022
B	Minnesota	Agent	Approved	03/30/2022



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	01/11/2024
B	New Hampshire	Agent	Approved	04/30/2021
B	New Jersey	Agent	Approved	10/29/2021
B	New York	Agent	Approved	05/09/2023
B	North Carolina	Agent	Approved	08/20/2021
B	Oregon	Agent	Approved	02/13/2020
B	South Carolina	Agent	Approved	03/04/2025
B	Texas	Agent	Approved	07/02/2020
B	Utah	Agent	Approved	06/03/2022
B	Virginia	Agent	Approved	01/11/2022

Branch Office Locations

2999 DOUGLAS BLVD
STE. 350
ROSEVILLE, CA 95661

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	California	Investment Adviser Representative	Approved	08/23/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	07/17/2020



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

EAGLE STRATEGIES LLC
2999 DOUGLAS BLVD
SUITE 350
ROSEVILLE, CA 95661-3839



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	08/05/2004

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	08/27/2004



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:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/03/2011 - 03/08/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	SACRAMENTO, CA
IA	01/03/2011 - 03/08/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	SACRAMENTO, CA
IA	08/30/2004 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SACRAMENTO, CA
B	08/09/2004 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SACRAMENTO, CA

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
04/2014 - Present	CADUCEUS FINANCIAL & INSURANCE SERVICES	OWNER	Y	ROSEVILLE, CA, United States
08/2011 - Present	EAGLE STRATEGIES LLC	INVESTMENT ADVISOR	Y	ROSEVILLE, CA, United States
07/2011 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	RSOEVILLE, CA, United States
06/2001 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	ROSEVILLE, CA, 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; SELL INSURANCE & FINANCIAL SERVICES; 2999 DOUGLAS BLVD SUITE 350; START DATE 02/2014; ROLE/TITLE: PARTNER; INVESTMENT RELATED; 40 HOURS PER MONTH; 40 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[OPERATING UNDER THE DBA NAME OF CADUCEUS FINANCIAL & INSURANCE SERVICES FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; ADDRESS: ROSEVILLE, CA; START DATE: 04/2014]



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
Termination	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

If charge(s) were brought against an organization over which individual exercised control:

Organization Name: N/A

Investment Related Business:

Position:

Formal Charges were brought in: State Court

Name of Court: COURT OF CALIFORNIA

Location of Court: SANTA CLARA COUNTY JUDICIAL DISTRICT, SUNNYVALE FACILITY 605 W. EL CAMINO REAL, SUNNYVALE, CA 94087

Docket/Case #: E9806356

Charge Date: 04/10/1998

Charge(s) 1 of 1

Formal Charge(s)/Description: PETTY THEFT

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: N/A



Disposition of charge:	Amended
Date of Amended Charge:	08/12/1998
Charge was Amended or reduced to:	AMENDED CHARGE TO INFRACTION
Amended No of Counts:	1
Amended Charge:	INFRACTION
Amended Plea:	NO CONTEST
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	08/12/1998
Disposition Date:	08/12/1998
Sentence/Penalty:	A. DISPOSOTION TYPE -PRETRIAL B. DATE - 2/12/1998, C SENTENCE/PENALTY - IMPOSITION OF SENTENCE SUSPENDED FOR PROBATIONARY PERIOD, D. DURATION - 1 YEAR, E. START DATE OF PENALTY - 8/12/1998, F. PENALTY/FINE AMOUNT - \$135, G. DATE PAID - 09/01/1998
Broker Statement	I WAS STILL IN HIGH SCHOOL AND MADE A MISTAKE.



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: The customers alleged that two variable universal life insurance policies issued on or about April 14, 2016 and May 19, 2016 were unsuitable recommendations.

Product Type: Insurance

Alleged Damages: \$11,536.80

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: 12/13/2019

Complaint Pending? No

Status: Denied

Status Date: 01/09/2020

Settlement Amount:

Individual Contribution Amount:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	WELLS FARGO BANK, NA
Termination Type:	Discharged
Termination Date:	02/15/2011
Allegations:	DISCHARGED BY WELLS FARGO BANK, NA (WFNA) FOR ACTIVITY UNRELATED TO THE BUSINESS OF WELLS FARGO ADVISORS, LLC. SPECIFICALLY, VIOLATED WFNA POLICY BY ASKING ANOTHER EMPLOYEE TO BACKDATE A CLIENT DOCUMENT.
Product Type:	No Product

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Reporting Source:	Individual
Firm Name:	WELLS FARGO BANK, NA
Termination Type:	Discharged
Termination Date:	02/15/2011
Allegations:	DISCHARGED BY WELLS FARGO BANK, NA (WFNA) FOR ACTIVITY UNRELATED TO THE BUSINESS OF WELLS FARGO ADVISORS, LLC. SPECIFICALLY, VIOLATED WFNA POLICY BY ASKING ANOTHER EMPLOYEE TO BACKDATE A CLIENT DOCUMENT.
Product Type:	No Product



End of Report

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