



IAPD Report

REBECCA ANN GORRELL

CRD# 5288880

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

i 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

REBECCA ANN GORRELL (CRD# 5288880)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	06/04/2012
IA	EAGLE STRATEGIES LLC	CRD# 110826	04/12/2024

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
B	METLIFE SECURITIES INC.	14251	OVERLAND PARK, KS	03/26/2007 - 05/25/2012
B	METROPOLITAN LIFE INSURANCE COMPANY 4095		OVERLAND PARK, KS	03/26/2007 - 07/09/2007

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
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 **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	06/04/2012
B Arkansas	Agent	Approved	06/04/2018
B California	Agent	Approved	04/04/2013
B Colorado	Agent	Approved	10/24/2017
B Florida	Agent	Approved	02/07/2022
B Illinois	Agent	Approved	10/25/2022
B Iowa	Agent	Approved	02/10/2020
B Kansas	Agent	Approved	06/04/2012
B Minnesota	Agent	Approved	06/13/2024
B Missouri	Agent	Approved	06/04/2012
B North Carolina	Agent	Approved	06/12/2024
B South Dakota	Agent	Approved	03/12/2021
B Texas	Agent	Approved	01/13/2022



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	03/12/2026

Branch Office Locations

KERRVILLE, TX

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 Texas	Investment Adviser Representative	Approved	04/12/2024

Branch Office Locations

EAGLE STRATEGIES LLC
 8000 IH 10 WEST
 SUITE 800
 SAN ANTONIO, TX 78230

EAGLE STRATEGIES LLC
 KERRVILLE, TX



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	03/23/2007
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2024
--	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	03/29/2007
---	-----------	------------

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
B	03/26/2007 - 05/25/2012	METLIFE SECURITIES INC.	CRD# 14251	OVERLAND PARK, KS
B	03/26/2007 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	OVERLAND PARK, KS

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
11/2024 - Present	Pivot Wealth and Insurance Strategies, LLC	Owner	Y	SAN ANTONIO, TX, United States
04/2024 - Present	Eagle Strategies LLC	IAR	Y	SAN ANTONIO, TX, United States
06/2012 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	OVERLAND PARK, KS, United States
05/2012 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	OVERLAND PARK, KS, United States
05/2017 - 11/2024	PIVOT INCOME STRATEGIES, LLC	Owner	Y	Overland Park, KS, 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 insurance carriers for the purpose of brokering non-registered insurance products; 8000 IH 10 West #800 San Antonio, TX, 78230; Start Date 05/2012; Role/Title: Insurance Broker; Investment Related; 5 hours per month; 5 hours per month during securities trading hours]

[OPERATING UNDER THE DBA NAME OF Pivot Wealth and Insurance Strategies, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; SAN ANTONIO TX; START DATE: 11/2024]

[PSG USA, LLC; This is an LLC opened in MT. It owns our Motorhomes. The business is open to won the Motorhomes; it rents the motorhomes to us for the miles used. ; 3011 American Way Missoula, MT 59808; Start Date 12/2023; Role/Title: Owner; Not 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
Customer Dispute	1

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:	Claimant is the representative for the Estate of the Customer. Claimant alleges that the sale of a fixed guaranteed lifetime income annuity with a life only option was not suitable based on the Customer's medical condition at the time of sale. Claimant further alleges that the annuity was purchased in whole or in part with proceeds of securities that were liquidated. Claimant is requesting the difference between the amount that was paid into the annuity and the amount that was paid out, which is approximately \$149,925.00. Dates: 6/2012-12/2013
Product Type:	Annuity-Fixed
Alleged Damages:	\$149,925.00
Alleged Damages Amount Explanation (if amount not exact):	Plus interest, costs and attorney's fees.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	15-02501



Filing date of arbitration/CFTC reparation or civil litigation: 10/01/2015

Customer Complaint Information

Date Complaint Received: 10/07/2015

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/01/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Arbitration

Docket/Case #: [15-02501](#)

Date Notice/Process Served: 10/07/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/05/2017

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement Please note that this Arbitration did not originate as a complaint. An administrative error was made by filling out question 7 instead questions of 12-16.



End of Report

This page is intentionally left blank.