



IAPD Report

THOMAS NOLAN PENDLETON

CRD# 5350768

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|-----------------------|
| Report Summary | 1 |
| Qualifications | 2 - 5 |
| Registration and Employment History | 7 - 8 |
| Disclosure Information | 9 |

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

THOMAS NOLAN PENDLETON (CRD# 5350768)

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 **04/06/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-----------------------|-------------|------------------|
| B | NYLIFE SECURITIES LLC | CRD# 5167 | 09/29/2015 |
| IA | EAGLE STRATEGIES LLC | CRD# 110826 | 12/02/2015 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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 | PARK AVENUE SECURITIES LLC | 46173 | COLUMBUS, GA | 08/29/2014 - 08/27/2015 |
| B | PARK AVENUE SECURITIES LLC | 46173 | NEW YORK, NY | 05/21/2014 - 08/27/2015 |
| B | WELLS FARGO ADVISORS, LLC | 19616 | COLUMBUS, GA | 07/24/2007 - 05/11/2010 |

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 |
| 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 **23** 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 | 09/29/2015 |
| B | FINRA | General Securities Representative | Approved | 12/15/2015 |
| B | Alabama | Agent | Approved | 10/21/2015 |
| B | California | Agent | Approved | 03/03/2021 |
| B | Colorado | Agent | Approved | 05/27/2021 |
| B | Connecticut | Agent | Approved | 06/13/2023 |
| B | Florida | Agent | Approved | 03/25/2019 |
| B | Georgia | Agent | Approved | 09/30/2015 |
| B | Hawaii | Agent | Approved | 07/11/2025 |
| B | Illinois | Agent | Approved | 07/27/2023 |
| B | Indiana | Agent | Approved | 09/11/2023 |
| B | Kansas | Agent | Approved | 09/15/2021 |
| B | Kentucky | Agent | Approved | 11/22/2016 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|--------------|----------|------------|
| B Maine | Agent | Approved | 06/10/2024 |
| B Massachusetts | Agent | Approved | 10/01/2024 |
| B Missouri | Agent | Approved | 04/07/2026 |
| B New York | Agent | Approved | 03/11/2023 |
| B North Carolina | Agent | Approved | 10/02/2018 |
| B Ohio | Agent | Approved | 05/07/2024 |
| B Oklahoma | Agent | Approved | 09/11/2020 |
| B Oregon | Agent | Approved | 09/17/2024 |
| B South Carolina | Agent | Approved | 04/29/2021 |
| B Texas | Agent | Approved | 03/31/2022 |
| B Virginia | Agent | Approved | 09/09/2021 |
| B West Virginia | Agent | Approved | 01/09/2023 |

Branch Office Locations

1443 2ND AVENUE
UNIT A
COLUMBUS, GA 31901

Employment 2 of 2

Firm Name: **EAGLE STRATEGIES LLC**
Main Address: 51 MADISON AVENUE
12TH FLOOR
NEW YORK, NY 10010
Firm ID#: 110826



Qualifications

| Regulator | Registration | Status | Date |
|------------|-----------------------------------|---------------------|------------|
| IA Georgia | Investment Adviser Representative | Approved | 12/02/2015 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 05/24/2022 |

Branch Office Locations

EAGLE STRATEGIES LLC
1443 2ND AVENUE
COLUMBUS, GA 31901



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, 4 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 |
|------|----------|------|
|------|----------|------|

| | | |
|--|------------|------------|
| Investment Company Products/Variable Contracts Representative Examination (S6TO) | Series 6TO | 01/02/2023 |
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| General Securities Representative Examination (S7) | Series 7 | 05/20/2014 |
| Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 07/23/2007 |

State Securities Law Exams

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

| | | |
|--|-----------|------------|
| Uniform Combined State Law Examination (S66) | Series 66 | 07/21/2014 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/25/2007 |

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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 | 08/29/2014 - 08/27/2015 | PARK AVENUE SECURITIES LLC | CRD# 46173 | COLUMBUS, GA |
| B | 05/21/2014 - 08/27/2015 | PARK AVENUE SECURITIES LLC | CRD# 46173 | NEW YORK, NY |
| B | 07/24/2007 - 05/11/2010 | WELLS FARGO ADVISORS, LLC | CRD# 19616 | COLUMBUS, GA |

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 |
|-------------------|--|---------------------------|--------------------|-----------------------------|
| 10/2018 - Present | GENERATIONAL FINANCIAL PARTNERS LLC | ASSOCIATE | Y | COLUMBUS, GA, United States |
| 03/2016 - Present | HUDSON PENDLETON FINANCIAL GROUP, LLC D/B/A HUDSON PENDLETON FIN | Owner | Y | Columbus, GA, United States |
| 11/2015 - Present | EAGLE STRATEGIES LLC | IAR | Y | COLUMBUS, GA, United States |
| 09/2015 - Present | NEW YORK LIFE INSURANCE | AGENT | Y | MACON, GA, United States |
| 09/2015 - Present | NYLIFE SECURITIES LLC | REGISTERED REPRESENTATIVE | Y | MACON, GA, 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.

[KNP Holdings, LCC; two rental properties; INVESTMENT RELATED; OWNER; 33 Grizzly Court, Fortson GA 31808; START DATE 01/2008; MAINTENANCE AND DUES; HOLDING COMPANY; 1 HOUR PER MONTH]

[St. Luke United Methodist Church; I am my church's finance committee. We do not have control of any of the finances or monies of the church. We are all members of the church and are used as a sounding board. All final decisions are made by the advisory council.; 7413 Whitesville Road, Columbus, GA 31904; Start Date 01/2015; Role/Title: Board Member; Not Investment Related; 1 hours per month; 1 hours per month during securities trading hours]

[Insurance Brokering; I will be brokering various insurance products with multiple providers.; 7413 Whitesville Road, Columbus, GA 31904; Start Date 10/2015; Role/Title: Insurance Broker; Investment Related; 3 hours per month; 3 hours per month during securities trading hours]



Registration & Employment History



OTHER BUSINESS ACTIVITIES

[OPERATING UNDER THE NAME HUDSON PENDLETON FINANCIAL GROUP, LLC D/B/A HUDSON PENDLETON FINANCIAL GROUP FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; COLUMBUS, GA; START DATE: 03/2016]

[OPERATING UNDER THE DBA NAME OF GENERATIONAL FINANCIAL PARTNERS LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; ASSOCIATE; COLUMBUS, GA; START DATE: 10/2018]

[St. Luke School School board; I will be serving on the board for St. Luke School; 318 11th Street, Columbus, GA 31901; Start Date 12/2019; Role/Title: Board Member; Not Investment Related; 4 hours per month; 1 hours per month during securities trading hours]

[Peach Little League; Board member for my kid's little league.; 1505 Cherokee Avenue, Columbus GA 31906; Start Date 06/2021; Role/Title: Board Member; Not Investment Related; 2 hours per month; 2 hours per month during securities trading hours; assist with helping the league running their season-drafts, schedules, lining up coaches, making sure the season runs smoothly][PRA Audio Systems, LLC DBA Audality; I am looking to invest in a start up company called Audality. They are in the technology space. I am only investing funds to this venture...not involved in any other capacity.; 1825 Eagle Summit Court, Lawrenceville GA 30043; Start Date 06/2024; Role/Title: Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]



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 |
| Termination | 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: The customer alleges the variable annuity he purchased in or around December 2021 is not suitable for him because of the fee structure, illiquidity, and restrictions in investment options.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The complaint does not provide an exact amount for damages. The company has made a good faith determination that that the damages could exceed \$5,000.00.

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: 12/08/2023

Complaint Pending? No

Status: Settled



| | |
|--|--------------|
| Status Date: | 02/14/2024 |
| Settlement Amount: | \$115,810.79 |
| Individual Contribution Amount: | \$0.00 |



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 ADVISORS
Termination Type: Discharged
Termination Date: 04/12/2010
Allegations: VIOLATION OF WACHOVIA BANK, NA POLICIES AND PROCEDURES:
FAILURE TO DISCLOSE OUTSIDE BUSINESS ACTIVITY.
Product Type: No Product

Reporting Source: Individual
Firm Name: WELLS FARGO / WACHOVIA
Termination Type: Discharged
Termination Date: 04/12/2010
Allegations: VIOLATION OF WACHOVIA BANK POLICIES & PROCEDURES; FAILURE TO
DISCLOSE OUTSIDE BUSINESS ACTIVITY
Product Type: Annuity-Fixed
Mutual Fund



End of Report

This page is intentionally left blank.