



IAPD Report

NICOLE MARIE PIZZI

CRD# 5770980

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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

NICOLE MARIE PIZZI (CRD# 5770980)

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 **02/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	10/31/2013
IA	EAGLE STRATEGIES LLC	CRD# 110826	03/06/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
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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
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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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	New Jersey	Investment Adviser Representative	Approved	03/06/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	03/07/2025

Branch Office Locations

EAGLE STRATEGIES LLC
595 E SWEDES FORD ROAD
SUITE 300
WAYNE, PA 19087

Employment 2 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	10/31/2013
B	FINRA	General Securities Representative	Approved	10/31/2023
B	California	Agent	Approved	04/21/2017
B	Colorado	Agent	Approved	10/02/2017



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	11/02/2020
B Delaware	Agent	Approved	06/25/2014
B District of Columbia	Agent	Approved	11/02/2020
B Florida	Agent	Approved	04/02/2014
B Georgia	Agent	Approved	11/02/2020
B Maryland	Agent	Approved	09/04/2014
B Massachusetts	Agent	Approved	11/02/2020
B Michigan	Agent	Approved	11/02/2020
B Nevada	Agent	Approved	04/02/2014
B New Jersey	Agent	Approved	04/01/2014
B New York	Agent	Approved	06/11/2014
B North Carolina	Agent	Approved	09/02/2022
B Ohio	Agent	Approved	09/02/2022
B Oregon	Agent	Approved	04/28/2020
B Pennsylvania	Agent	Approved	10/31/2013
B Texas	Agent	Approved	09/02/2022
B Virginia	Agent	Approved	04/30/2021
B Wisconsin	Agent	Approved	03/23/2022

Branch Office Locations



Qualifications

595 E. SWEDESFORD ROAD
SUITE 300
WAYNE, PA 19087



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 General Securities Representative Examination (S7TO)	Series 7TO	10/31/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/31/2013

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/05/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/19/2013

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
03/2025 - Present	Eagle Strategies LLC	IAR	Y	WAYNE, PA, United States
03/2025 - Present	Karalius & Associates Insurance and Financial Services, LLC	Associate	Y	WAYNE, PA, United States
09/2023 - Present	Accessible Home Health Care of The Main Line	Caregiver	N	ARDMORE, PA, United States
08/2012 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	BALA CYNWYD, PA, United States
03/2010 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	BALA CYNWYD, PA, 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.

[APPOINTED WITH OUTSIDE INSURANCE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS; 595 E Swedesford Rd Suite 300 Wayne, PA 19087; Start Date 08/2024; Role/Title: Insurance Broker; Investment Related; 1 hours per month; 0 hours per month during securities trading hours]

[OPERATING UNDER THE DBA NAME OF Karalius & Associates Insurance and Financial Services, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; ASSOCIATE; WAYNE PA; START DATE: 03/2025]

[Jean and John Pizzi LLC; LLC is my grandparents property that was passed down/it was placed in an LLC for estate planning purposes/I purchased all shares of the LLC 09/01/25 and renamed the LLC back to my grandparents name; 1025 W Lancaster Avenue Bryn Mawr PA 19010; Start Date 11/2023; Role/Title: Member; Investment Related; 5 hours per month; 0 hours per month during securities trading hours; Responsible for property taxes, insurance premiums, licensing fees and maintenance/repairs.]

[Accessible Home Health Care of The Main Line ; Caregiver.; 344 Ardmore Ave, Ardmore PA 19003; Start Date 09/2023; Role/Title: Employee; Not Investment Related; 120 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:	Among other allegations, plaintiff alleges that in or about April 2019, he was persuaded to purchase what he was told was long term care coverage by taking a loan for \$70,000. Plaintiff alleges he later learned that he purchased a New York Life insurance policy. Plaintiff also seeks a judgment in excess of \$50,000 for alleged conversion of his property and monies.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Plaintiff seeks a judgment in excess of \$50,000 for alleged conversion of his property and monies.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	The Court of Common Pleas
Location of Court:	Montgomery County, PA
Docket/Case #:	2022-25161
Date Notice/Process Served:	01/03/2023
Litigation Pending?	No
Disposition:	Settled



Disposition Date: 09/01/2025
Monetary Compensation Amount: \$621,500.00
Individual Contribution Amount: \$621,500.00

Broker Statement

The suit contained numerous accusations and demands, among which were sales practice violations that RR Pizzi induced her father to purchase a long-term care policy that did not benefit him, in order to earn her a \$7,000 commission. For this, he sought damages of \$27,000, comprised of \$20,000 for the cost of a loan taken to fund the policy, and her \$7,000 commission.

The settlement was reached among the 4 parties to the suit: 1 plaintiff (RR father) and 3 defendants (RR's brother, RR and the family LLC). The settlement was solely a buyout of LLC ownership interests shared by 3 of the parties (RR, RR's father and RR's brother). The amount paid by the RR consisted of the fair market value of the share prices, plus outstanding undistributed LLC profits up to the date of the buyout.

Of the total settlement amount paid of \$621,500, 2/3rds went to the plaintiff (RR's father) and 1/3rd went to a co-defendant (RR's brother). The settlement in the form of the LLC share buyout and had absolutely nothing to do with the accusations of sales practice violations made.



End of Report

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