User Guidance

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IAPD Report

Walter Wynne Lawrence

CRD# 6180077

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

Walter Wynne Lawrence (CRD# 6180077)

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 **11/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	04/19/2021
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/09/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	EDWARD JONES	250	MONROE, LA	06/10/2013 - 02/03/2021
B	EDWARD JONES	250	MONROE, LA	05/30/2013 - 02/03/2021

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

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 **5** 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	04/19/2021
B	Arkansas	Agent	Approved	06/17/2025
B	Florida	Agent	Approved	06/23/2022
B	Indiana	Agent	Approved	06/12/2023
B	Louisiana	Agent	Approved	04/20/2021
B	Texas	Agent	Approved	04/20/2021

Branch Office Locations

300 WASHINGTON STREET
SUITE 300
MONROE, LA 71201

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	Louisiana	Investment Adviser Representative	Approved	06/11/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	06/09/2021

Branch Office Locations

EAGLE STRATEGIES LLC
300 WASHINGTON ST
SUITE 300
MONROE, LA 71201

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
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	05/21/2013

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/06/2013

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
IA	06/10/2013 - 02/03/2021	EDWARD JONES	CRD# 250	MONROE, LA
B	05/30/2013 - 02/03/2021	EDWARD JONES	CRD# 250	MONROE, LA

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
06/2021 - Present	Eagle Strategies LLC	IAR	Y	MONROE, LA, United States
04/2021 - Present	NYLIFE Securities LLC	Registered Representative	Y	Shreveport, LA, United States
04/2021 - Present	New York Life Insurance Co	Agent	Y	Shreveport, LA, United States
04/2013 - 02/2021	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, 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.

[Knights of Columbus John C Marsh Assembly 329; Position of Faithful Navigator (the group's leader) for a 1-year term. Knights of Columbus is a religious fraternal organization that performs charitable service work in communities around the world.; 2701 Ferrand St Monroe LA 71201; Start Date 09/2017; Role/Title: Officer; Investment Related; 4 hours per month; 0 hours per month during securities trading hours; preside at all meetings, install new members, confer with board members and, with the Comptroller, approve payments presented by the Purser.]

[Insurance Brokering; Appointed with outside carriers for the purpose of brokering non-registered insurance products; 300 Washington St, Ste 300, Monroe, LA 71201; Start Date 01/2001; Role/Title: Insurance Broker; Investment Related; 1 hours per month; 1 hours per month during securities trading hours; I sell, or have sold and serviced, insurance products issued by these companies.]

[Rotary Club of Monroe; Rotary is dedicated to causes that build international relationships, improve lives, and create a better world to support our peace efforts and end polio forever. Locally, Rotary helps build up the communities through fellowship and projects.; PO Box 14634 Monroe, LA 71207; Start Date 07/2022; Role/Title: Officer; Not Investment Related; 3 hours per month; 3 hours per month during securities trading hours; General club governance. Club Strategy.][Ouachita Parish Poll Worker; Poll Worker/Election Worker-parish government entity-conducts voter identification and sign-in at the polling place and tabulates the result; reports this result to the Secretary of State. This is a neutral, non-partisan function.; Ouachita Parish Clerk of Court 301 S. Grand St Rm 104 Monroe, LA 71201; Start Date 09/2024; Role/Title: Commissioner; Not Investment Related; 14 hours per month; 8 hours per month during securities trading hours][Delta Facilities Corporation; Corporation was set up to purchase land and build

Registration & Employment History

OTHER BUSINESS ACTIVITIES

the college campus in Monroe, LA. The college grounds and building is leased to the state for revenues which in-turn pay the bonded indebtedness issued to fund land purchase and construction; 1818 Avenue of Americas Monroe, LA 71201; Start Date 01/2025; Role/Title: Board Member; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; administration of the lease, filing corporate documents and other normal administrative duties][JENEMERIC Properties, LLC - Dormant; 113 Copper Run Dr Monroe, LA 71203; Start Date 11/2016; 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
Regulatory Event	1

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:	LOUISIANA BOARD OF ETHICS
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/01/2007
Docket/Case Number:	2007-584
Employing firm when activity occurred which led to the regulatory action:	AT&T SERVICES, INC.
Product Type:	No Product
Allegations:	THE ALLEGATION WAS THAT THERE WAS A VIOLATION OF SECTION 55D OF THE (LOUISIANA) LOBBYIST DISCLOSURE ACT, WHICH, ACCORDING TO THE LA. BOARD OF ETHICS, MANDATES THAT EXPENDITURE REPORTS CONTAIN THE TOTAL OF ALL (LOBBYIST) EXPENDITURES DURING EACH REPORTING PERIOD, AND, THAT THE EXPENDITURE REPORT SUBMITTED ON 8/15/2006 DID NOT CONTAIN THE TOTAL AMOUNT OF EXPENDITURES MADE DURING THE REPORTING PERIOD (THE SIX MONTH PERIOD ENDING JUNE,31 (SIC), 2006).
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	05/08/2008
Sanctions Ordered:	Other: THE BOARD IMPOSED A FINE OF $300 WHICH WAS SUSPENDED, CONTINGENT UPON FUTURE COMPLIANCE WITH THE DISCLOSURE ACT. THERE WERE NO ADDITIONAL ACTIONS.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$300.00
Portion Levied against individual:	$0.00
Payment Plan:	SUSPENDED IN TOTAL
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	Yes
Amount Waived:	$300.00
Broker Statement	I AM UNSURE ABOUT HOW TO ANSWER QUESTION 12 AND 12B. THE ORDER WAS FINAL RELATIVE TO REGULATIONS DEALING WITH COMPLETE REPORTING. I AM UNSURE ABOUT THE LEGAL TERMINOLOGY IN 12B ALTHOUGH IT AND ALL QUESTIONS ARE ANWERED TO THE BEST OF MY KNOWLEDGE. IN TWELVE (12) YEARS OF REPORTING LOBBYIST EXPENDITURES, THIS 2006 INCIDENT IS THE FIRST AND ONLY FINDING OF ANY KIND. DUE TO MY RETIREMENT FROM MY PREVIOUS EMPLOYER, I RECENTLY VOLUNTARILY TERMINATED MY STATUS AS A REGISTERED LOBBYIST. ALTHOUGH I TAKE FULL RESPONSIBILITY FOR IT, THIS FINDING WAS DUE TO A CLERICAL ERROR. THERE WAS NEVER ANY ATTEMPT TO SUBMIT ANYTHING BUT A TRUE AND ACCURATE REPORT.

End of Report

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