



IAPD Report

ROBERT ALEXANDER PALUMBO

CRD# 6587740

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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

ROBERT ALEXANDER PALUMBO (CRD# 6587740)

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 **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	12/19/2024
IA	EAGLE STRATEGIES LLC	CRD# 110826	01/07/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	NEW YORK, NY	02/15/2023 - 10/11/2024
B	FIDELITY BROKERAGE SERVICES LLC	7784	NEW YORK, NY	10/17/2022 - 10/11/2024
B	CITI PRIVATE ADVISORY, LLC	153777	New York, NY	05/31/2022 - 08/19/2022

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
Termination	1
Financial	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 3 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	12/22/2025
IA New York	Investment Adviser Representative	Approved	01/07/2025

Branch Office Locations

EAGLE STRATEGIES LLC
1 WORLD TRADE CENTER
285 FULTON STREET, 39TH FLOOR
NEW YORK, NY 10007

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	General Securities Representative	Approved	12/19/2024
B FINRA	Invest. Co and Variable Contracts	Approved	12/19/2024
B Connecticut	Agent	Approved	09/25/2025
B New Jersey	Agent	Approved	10/09/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	12/19/2024

Branch Office Locations

1 WORLD TRADE CENTER
285 FULTON STREET, 39TH FL
NEW YORK, NY 10007-0166



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	06/09/2022
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/20/2017

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	01/14/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/2017

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
IA	02/15/2023 - 10/11/2024	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	NEW YORK, NY
B	10/17/2022 - 10/11/2024	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	NEW YORK, NY
B	05/31/2022 - 08/19/2022	CITI PRIVATE ADVISORY, LLC	CRD# 153777	New York, NY
B	05/31/2022 - 08/19/2022	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	01/12/2021 - 02/16/2022	FIRST REPUBLIC SECURITIES COMPANY, LLC	CRD# 105108	NEW YORK, NY
B	07/20/2017 - 12/31/2020	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	NEW YORK, NY

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
01/2025 - Present	EAGLE STRATEGIES LLC	IAR	Y	NEW YORK, NY, United States
12/2024 - Present	NYLIFE Securities, LLC	Reg. Representative	Y	New York, NY, United States
10/2024 - Present	New York Life Insurance Co.	Agent	Y	New York, NY, United States
08/2022 - 08/2024	FIDELITY INVESTMENTS	FINANCIAL CONSULTANT, BRANCHES	Y	NEW YORK, NY, United States
05/2022 - 08/2022	Citigroup	Vice President Associate Banker	Y	New York, NY, United States
02/2022 - 05/2022	Unemployed	Unemployed	N	New York, NY, United States
01/2021 - 02/2022	First Republic Bank	Professional Lending Associate	Y	New York, NY, United States
01/2021 - 02/2022	First Republic Securities Company, LLC	Professional Lending Associate	Y	New York, NY, United States
01/2018 - 12/2020	Northwestern Mutual Wealth Management Company	Representative	Y	Milwaukee, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2017 - 12/2020	Northwestern Mutual Investment Services LLC	Registered Representative	Y	New York, NY, United States
10/2016 - 12/2020	Northwestern Mutual Life Insurance Company	Agent	Y	Milwaukee, WI, United States
05/2016 - 09/2016	Barnum Financial Group	Financial Representative	Y	Elmsford, NY, United States
06/2016 - 08/2016	MSI Financial Services	Registered Representative	Y	Elmsford, NY, 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; start 10/2024; Appointed with outside carriers for the purpose of brokering non-registered products; 31-89 32nd Street, Long Island City NY 11106; 1 hour per month, 0 hours during securities trading hours; insurance related]



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
Termination	1
Financial	1

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: FIDELITY BROKERAGE SERVICES LLC

Termination Type: Voluntary Resignation

Termination Date: 08/29/2024

Allegations: Allegation regarding whether representative indicated in firm's internal system that he attempted to or did communicate with customers by telephone when he had not.
Product Type: No product

Product Type: No Product

Reporting Source: Individual

Firm Name: Fidelity Investments

Termination Type: Voluntary Resignation

Termination Date: 08/29/2024

Allegations: "Allegation regarding whether representative indicated in firm's internal system that he attempted to or did communicate with customers by telephone when he had not. Product Type: No product"

Product Type: No Product

Broker Statement The allegations are tied to Fidelity's internal review of its two systems: Genesis (an automatic dialer) and Salesforce (a customer relationship management system). I frequently used both systems, and the investigation sought to ensure that client calls were properly logged in Salesforce. The firm had not completely transitioned from Genesis to Salesforce, but the two systems continued to remain



unsynchronized. To maintain transparency, I made it a priority to accurately log information into Salesforce. During the internal review, I presented a thorough explanation of my procedures and pointed out the challenges posed by the lack of synchronization between these two systems. Unfortunately, my input was not sufficiently considered after adequate evidence was provided, which I believe contributed to the failure to resolve the internal issues.

Regarding the allegation of impersonation, I want to clarify that my father confirmed that he authorized all transactions and communications regarding his accounts. The firm alleged that they were in communication with me during a specific transaction; however, my father called to verify his identity and confirm the transaction's processing. My father has fully disclosed and confirmed that he made all decisions regarding his accounts and was responsible for all communications with the firm. Therefore, there is substantial evidence refuting the impersonation allegation.

I decided to leave the firm based solely on my own ethical judgment, independent of any allegations outlined on my U5. As a final note, the firm recorded on my U5 that the interview review took place the day after a harassment claim was filed against my employer.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual
Action Type: Compromise
Action Date: 12/07/2020

Organization Investment-Related?

Action Pending? No

Disposition: Settled

Disposition Date: 12/07/2020

If a compromise with creditor, provide:

Name of Creditor: TD Bank/Associated Credit Services, INC

Original Amount Owed: \$1,882.10

Terms Reached with Creditor: Paid \$1,129.26 to settle the account.



End of Report

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