



IAPD Report

FRANCIS JOSEPH VLOCK

CRD# 828638

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



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

FRANCIS JOSEPH VLOCK (CRD# 828638)

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 **10/26/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NYLIFE SECURITIES LLC	CRD# 5167	09/28/1982
IA	EAGLE STRATEGIES LLC	CRD# 110826	06/11/2001

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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
------	------	----------	--------------------

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
Regulatory Event	1
Customer Dispute	2



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 **17** 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	Direct Participation Programs	Approved	09/28/1982
B FINRA	Invest. Co and Variable Contracts	Approved	09/28/1982
B Alaska	Agent	Approved	03/28/2012
B Arizona	Agent	Approved	04/22/1999
B California	Agent	Approved	10/05/1999
B Colorado	Agent	Approved	04/08/1997
B Florida	Agent	Approved	03/26/2012
B Illinois	Agent	Approved	12/08/2016
B Iowa	Agent	Approved	10/24/1985
B Kansas	Agent	Approved	03/23/2012
B Massachusetts	Agent	Approved	03/26/2012
B Minnesota	Agent	Approved	02/02/2006
B Mississippi	Agent	Approved	03/28/2012



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	10/09/1984
B Nevada	Agent	Approved	04/12/2012
B New Mexico	Agent	Approved	08/20/2018
B South Dakota	Agent	Approved	02/18/2020
B Texas	Agent	Approved	03/31/2012
B Wyoming	Agent	Approved	03/04/2020

Branch Office Locations

18140 Burke Street
SUITE 201
ELKHORN, NE 68022

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 Nebraska	Investment Adviser Representative	Approved	05/16/2006

Branch Office Locations

EAGLE STRATEGIES LLC
18140 BURKE STREET
SUITE 201
ELKHORN, NE 68022



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 1 state securities law exam.

Principal/Supervisory Exams

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

No information reported.

General Industry/Product Exams

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

Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Registered Representative Examination (S1)	Series 1	10/14/1976

State Securities Law Exams

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

Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1984
--	-----------	------------

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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:

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
02/2017 - Present	GENERATION STRATEGIES, LLC	Associate	Y	Omaha, NE, United States
08/2012 - Present	VLOCK FINANCIAL GROUP	OWNER	Y	OMAHA, NE, United States
06/2001 - Present	EAGLE STRATEGIES LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
10/1976 - Present	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
01/1974 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	OMAHA, NE, 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.

[OPERATING UNDER THE DBA NAME OF VLOCK FINANCIAL GROUP FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; 1 ONE VALMONT PLAZA SUITE 100 OMAHA, NE 68154; START DATE: 08/2012]

[OPERATING UNDER THE DBA NAME OF GENERATION STRATEGIES, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; ASSOCIATE; OMAHA, NE; START DATE: 02/2017]

[Rental Property; Residential home; 8464 Browne Street. Omaha Ne 68134; Start Date 06/2009; Role/Title: Owner; Investment Related; 1 hours per month; 0 hours per month during securities trading hours]

[NYLARC Holding Company, Inc.; Reinsuring life insurance that I write with new york life; 51 Madison Ave, NewYork, New York 10010; Start Date 06/2000; Role/Title: Member; Investment Related; 1 hours per month; 1 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
Regulatory Event	1
Customer Dispute	2

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:	STATE OF NEBRASKA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/30/2012
Docket/Case Number:	A-1952
Employing firm when activity occurred which led to the regulatory action:	NYLIFE SECURITIES LLC
Product Type:	Annuity-Fixed Annuity-Variable
Allegations:	THE DEPARTMENT ALLEGES THAT RESPONDENT VIOLATED §§44-1524, 44-1525(10), 44-4059(1)(B), 44-4059(1)(E), 44-4059(1)(G), AND 44-4059(1)(H) AS A RESULT OF MISSTATING THE PURCHASE DATE OF HIS CLIENT'S EXISTING VARIABLE ANNUITY AND THE SURRENDER CHARGE INCURRED IN ITS SURRENDER IN MARCH, 2011 ON AN APPLICATION FOR THE SALE OF A NEW YORK LIFE FIXED DEFERRED ANNUITY CONTRACT.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/16/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$1,500.00
Portion Levied against individual:	\$1,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/24/2012
Was any portion of penalty waived?	No
Amount Waived:	



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Customers allege the risks of the mutual funds purchased in October 2014 were not communicated to them. Customers are requesting restitution of their original investment.
Product Type:	Mutual Fund
Alleged Damages:	\$347,157.47
Alleged Damages Amount Explanation (if amount not exact):	Unrealized losses to date.
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:	07/05/2016
Complaint Pending?	No
Status:	Settled
Status Date:	11/15/2016
Settlement Amount:	\$339,867.67
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES INC.
Allegations:	WITH REGARD TO A VARIABLE LIFE INSURANCE POLICY PURCHASED IN JANUARY 2001, THE CUSTOMERS ALLEGE I TOLD THEM THAT UPON CONSOLIDATION OF THEIR EXISTING POLICIES, OF WHICH ONE HAD A OUTSTANDING LOAN, THAT THERE WOULD BE NO TAX IMPLICATIONS. THE CUSTOMERS FURTHER ALLEGE THAT THEY RECEIVED A 1099 TAX FORM "IN ERROR AND REQUEST THAT THE APPROPRIATE STEPS BE TAKEN TO CORRECT THE SITUATION."



Product Type: Insurance
Other Product Type(s): VARIABLE LIFE INSURANCE
Alleged Damages: \$34,451.27

Customer Complaint Information

Date Complaint Received: 02/14/2002
Complaint Pending? No
Status: Settled
Status Date: 05/08/2002
Settlement Amount: \$19,951.04
Individual Contribution Amount: \$0.00

Broker Statement UPON REVIEW OF THE MATTER, NEW YORK LIFE OFFERED TO RESTORE THE CUSTOMER'S PREVIOUS POLICIES AND RESCIND THE VARIABLE LIFE INSURANCE POLICY. THE CUSTOMER ACCEPTED THE OFFER.



End of Report

This page is intentionally left blank.