



## IAPD Report

# C SCOTT RASSLER

CRD# 838660

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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

### C SCOTT RASSLER (CRD# 838660)

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 **01/09/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	NYLIFE SECURITIES LLC	CRD# 5167	12/03/2009
<b>IA</b>	EAGLE STRATEGIES LLC	CRD# 110826	04/05/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
<b>IA</b>	MML INVESTORS SERVICES, INC.	10409	FT LAUDERDALE, FL	03/25/1991 - 10/27/2009
<b>B</b>	MML INVESTORS SERVICES, INC.	10409	FT LAUDERDALE, FL	08/10/1988 - 10/27/2009
<b>IA</b>	FAMILY WEALTH COUNSELORS, INC.	126098	FORT LAUDERDALE, FL	01/29/1997 - 11/19/2008

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 **11** 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>B</b> FINRA	General Securities Representative	Approved	12/03/2009
<b>B</b> Arizona	Agent	Approved	07/08/2021
<b>B</b> California	Agent	Approved	12/03/2009
<b>B</b> Florida	Agent	Approved	12/03/2009
<b>B</b> Georgia	Agent	Approved	11/08/2024
<b>B</b> Illinois	Agent	Approved	04/22/2025
<b>B</b> Michigan	Agent	Approved	07/29/2020
<b>B</b> Nevada	Agent	Approved	01/02/2020
<b>B</b> New Jersey	Agent	Approved	07/25/2024
<b>B</b> New York	Agent	Approved	01/11/2024
<b>B</b> North Carolina	Agent	Approved	01/06/2011
<b>B</b> Pennsylvania	Agent	Approved	11/22/2022

### Branch Office Locations



## Qualifications

WESTON, FL


2500 NORTH MILITARY TRAIL  
SUITE 300  
BOCA RATON, FL 33431

### 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
 Florida	Investment Adviser Representative	Approved	04/05/2012

### Branch Office Locations

**EAGLE STRATEGIES LLC**  
138 DOCKSIDE TERRACE  
WESTON, FL 33327

**EAGLE STRATEGIES LLC**  
2500 NORTH MILITARY TRAIL  
SUITE 300  
BOCA RATON, FL 33431



## 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/21/1988
Registered Representative Examination (S1)	Series 1	06/03/1977

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1993

### 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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/25/1991 - 10/27/2009	MML INVESTORS SERVICES, INC.	CRD# 10409	FT LAUDERDALE, FL
B	08/10/1988 - 10/27/2009	MML INVESTORS SERVICES, INC.	CRD# 10409	FT LAUDERDALE, FL
IA	01/29/1997 - 11/19/2008	FAMILY WEALTH COUNSELORS, INC.	CRD# 126098	FORT LAUDERDALE, FL
B	12/04/1987 - 09/19/1988	FIRST FLORIDA INVESTMENT BROKERS, INC.	CRD# 13790	FT. LAUDERDALE, FL
B	06/09/1977 - 11/26/1985	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	
B	02/18/1982 - 11/25/1985	PRUCO SECURITIES CORPORATION	CRD# 5685	

#### 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	M&A Executive Benefit Insurance Solutions, LLC	Associate	Y	WESTON, FL, United States
04/2022 - Present	THE BRIDGE GROUP, INC.	Associate	Y	Boca Raton, FL, United States
07/2013 - Present	RASSLER FINANCIAL STRATEGIES	OWNER	Y	SUNRISE, FL, United States
03/2012 - Present	EAGLE STRATEGIES LLC	IAR	Y	FORT LAUDERDALE, FL, United States
12/2009 - Present	NYLIFE SECURITIES LLC	SALES REP	Y	SUNRISE, FL, United States
10/2009 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	FORT LAUDERDALE, FL, United States
09/2009 - Present	MAHONEY FINANCIAL ORGANIZATION LLC	FINANCIAL SERVICES PROFESSIONALS	Y	FORT LAUDERDALE, FL, United States



## Registration & Employment History

### 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; APPOINTED WITH SEVERAL CARRIES FOR THE PURPOSE OF SELLING NON-NYL REG PRODUCTS; INVESTMENT RELATED- UNDER DBA MAHONEY FINANCIAL ORGANIZATION LLC]

[JUNIOR ACHIEVEMENT OF S. FL; BOARDMEMBER; NON INVESTMENT RELATED; START DATE 11/2009]

[PAUL L. RODENSKY FOUNDATION FOR THE ARTS INC; board member; non investment related; start date 10/2009]

[LOVEWELL INSTITUTE FOR THE CREATIVE ARTS; BOARD MEMBER; NON INVESTMENT RELATED; START DATE 10/2009]]

[OPERATING UNDER THE DBA NAME OF RASSLER FINANCIAL STRATEGIES FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; OWNER; ADDRESS: SUNRISE, FL; START DATE: 07/2013]

[NOVA SOUTHEASTERN UNIVERSITY; PRIVATE, NOT FOR PROFIT UNIVERSITY; 3301 COLLEGE AVE, FORT LAUDERDALE, FL, 33314; START DATE 11/2011; ROLE/TITLE: BOARD MEMBER; NOT INVESTMENT RELATED; 20 HOURS PER MONTH; 10 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[The Creative Learning Center, LLC; Promotes social and emotional experiential learning opportunities for students; 1000 W. McNab Rd., #320, Pompano Beach, FL 33069; Start Date 10/2015; Role/Title: Owner; Not Investment Related; 10 hours per month; 4 hours per month during securities trading hours]

[NYLARC Holding Company, Inc.; Reinsuring the life insurance I write with NYLife.; 51 Madison Ave, NY, NY 10010; Start Date 08/2014; Role/Title: Investor; Investment Related; 1 hours per month; 1 hours per month during securities trading hours; passive investor]

[OPERATING UNDER THE DBA NAME OF THE BRIDGE GROUP, INC.FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES AS WELL AS BROKERING NON-REGISTERED INSURANCE PRODUCTS; INVESTMENT RELATED; ASSOCIATE; BOCA RATON, FL; START DATE: 04/2022]

[Family Wealth Counselors, Inc. - Dormant; This is an entityl created back when I used to do fee-based estate planning as an independent RIA. It is now dormant. I just pay the annual Florida filing fee to retain ownership of the name.; 138 Dockside Terrace, Weston, FL 33327; Start Date 08/1996; Role/Title: Owner; Investment Related; 0 hours per month; 0 hours per month during securities trading hours][Weston Bar Association; An association of attorneys, business and community leaders organized to promote the common business interests, public perception and reputation of attorneys practicing or residing in or around the City of Weston, Florida.; 1792 Bell Tower Lane, Weston, FL 33326; Start Date 11/2017; Role/Title: Board Member; Not Investment Related; 16 hours per month; 4 hours per month during securities trading hours]

[OPERATING UNDER THE DBA NAME OF M&A Executive Benefit Insurance Solutions, LLC FOR THE PURPOSE OF SELLING NEW YORK LIFE PRODUCTS AND SERVICES ; INVESTMENT RELATED; ASSOCIATE; WESTON FL; START DATE: 03/2025]



## 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:** Plaintiff alleges that the recommendation to liquidate certain retirement assets to purchase a fixed life insurance policy at New York Life as part of his estate and family planning plan was not suitable and he incurred large losses as a result. Plaintiff requested the return of premiums paid in the amount of \$276,387 and additional damages in excess of \$2,000,000 for taxes and tax penalties incurred, lost opportunity costs, and costs for accountants, experts and attorney's fees. Dates: 12/13-12/15.

**Product Type:** Insurance  
Other: Unknown Securities Products

**Alleged Damages:** \$2,300,000.00

**Alleged Damages Amount Explanation (if amount not exact):** Plaintiff is also requesting attorneys fees, costs and interest.

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** Circuit Court of the 6th Judicial Circuit

**Location of Court:** Pinellas County, FL

**Docket/Case #:** 16-024180

**Date Notice/Process Served:** 02/19/2016



<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/05/2016
<b>Monetary Compensation Amount:</b>	\$825,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	To avoid the time and expense of protracted litigation, a business decision was made to settle the matter with no admission of liability on my part.



## End of Report

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