

BrokerCheck Report

LARRY EDWIN BOTTS

CRD# 26758

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**LARRY E. BOTTS**

CRD# 26758

Currently employed by and registered with the following Firm(s):

IA EAGLE STRATEGIES LLC
 444 LEWIS HARGETT CIRCLE
 SUITE 115
 LEXINGTON, KY 40503
 CRD# 110826
 Registered with this firm since: 03/17/1999

B NYLIFE SECURITIES LLC
 444 LEWIS HARGETT CIRCLE
 SUITE 115
 LEXINGTON, KY 40503
 CRD# 5167
 Registered with this firm since: 10/25/1982

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 8 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B NEW YORK LIFE VARIABLE CONTRACTS CORPORATION
 CRD# 5167
 10/1970 - 11/1979

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **EAGLE STRATEGIES LLC**
 Main Office Address: **51 MADISON AVENUE
 12TH FLOOR
 NEW YORK, NY 10010**
 Firm CRD#: **110826**

| | U.S. State/ Territory | Category | Status | Date |
|-----------|-----------------------|-----------------------------------|----------|------------|
| IA | Kentucky | Investment Adviser Representative | Approved | 03/17/1999 |

Branch Office Locations

444 LEWIS HARGETT CIRCLE
 SUITE 115
 LEXINGTON, KY 40503

Employment 2 of 2

Firm Name: **NYLIFE SECURITIES LLC**
 Main Office Address: **51 MADISON AVE.
 ROOM 713
 NEW YORK, NY 10010**
 Firm CRD#: **5167**

| | SRO | Category | Status | Date |
|----------|-------|-----------------------------------|----------|------------|
| B | FINRA | General Securities Representative | Approved | 10/25/1982 |

Broker Qualifications



Employment 2 of 2, continued

| | U.S. State/ Territory | Category | Status | Date |
|---|-----------------------|----------|----------|------------|
| B | Arizona | Agent | Approved | 05/24/2024 |
| B | California | Agent | Approved | 06/07/2023 |
| B | Florida | Agent | Approved | 01/20/2012 |
| B | Georgia | Agent | Approved | 05/06/2022 |
| B | Indiana | Agent | Approved | 05/06/2022 |
| B | Kentucky | Agent | Approved | 09/24/1984 |
| B | Ohio | Agent | Approved | 05/09/2022 |
| B | Virginia | Agent | Approved | 01/12/2023 |

Branch Office Locations

NYLIFE SECURITIES LLC
444 LEWIS HARGETT CIRCLE
SUITE 115
LEXINGTON, KY 40503



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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 |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--|------------|------------|
| B General Securities Representative Examination | Series 7TO | 01/02/2023 |
| B Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B Registered Representative Examination | Series 1 | 10/15/1970 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 01/11/1999 |
| B Uniform Securities Agent State Law Examination | Series 63 | 09/19/1984 |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|----------------------------|--|------|-----------------|
| B 10/1970 - 11/1979 | NEW YORK LIFE VARIABLE CONTRACTS CORPORATION | 5167 | |

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|---|---------------------|--------------------|------------------------------|
| 06/2017 - Present | GENERATION STRATEGIES, LLC | Associate | Y | Lexington, KY, United States |
| 04/2002 - Present | WEALTH COACH OF KENTUCKY DBA LARRY BOTTS AND ASSOCIATES | PRESIDENT | Y | LEXINGTON, KY, United States |
| 10/1982 - Present | NYLIFE SECURITIES INC. | OTHER - REG REP | Y | LEXINGTON, KY, United States |
| 02/1967 - Present | NEW YORK LIFE INSURANCE COMPANY | OTHER - UNDERWRITER | N | LEXINGTON, KY, United States |

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

[DBA DESIGNATION OF WEALTH COACH OF KENTUCKY DBA LARRY BOTTS AND ASSOCIATES]

[CRAVENS AND BOTTS LLC; PASSIVE INVESTOR; CONSTRUCTION OF HOMES PASSIVE INVESTOR OF CRAVENS AND BOTTS INVESTMENTS - RENTAL REAL ESTATE]

[INSURANCE BROKERING; APPOINTED WITH VARIOUS OUTSIDE CARRIERS FOR THE PURPOSE OF BROKERING NON-REGISTERED INSURANCE PRODUCTS]

[BOTTS & CRAVENS HOMEBUILDERS LLC; HOMEBUILDERS REAL ESTATE INVESTMENT; 310 UNITED COURT, LEXINGTON, KY 40509; START DATE: 11/2012; ROLE/ TITLE: PARTNER; INVESTMENT RELATED; 1 HOUR PER MONTH]



Registration and Employment History

Other Business Activities, continued

[CMSTEXT, LLC; TELECOMMUNICATIONS; 501 DARBY CREEK ROAD, SUITE 5, LEXINGTON, KY 40509; START DATE 07/2010; NVESTOR; NOT INVESTMENT RELATED; 0 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[BUCKAROO 6, LLC DBA SPAW CREEK; SELLING LOGS.; SPAW CREEK, WELLINGTON, KY; START DATE 06/2014; OWNER; NOT INVESTMENT RELATED; 1 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[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; LEXINGTON, KY; START DATE: 06/2017]

[Zooker; Digital Advertising for the Resturant; 651 Perimeter Drive Suite 400 Lexington, Kentucky 40517; Start Date 03/2011; Role/Title: Passive Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]

[M E P Equine Solutions LLC; Create Medical Devices for the The Thoroughbred Horse Industry; 1532 North Limestone, Lexington, Ky 40505; Start Date 03/2019; Role/Title: Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]

[Lepidext Inc.; Develops Insecticides for the Agriculture Industry to eliminate mouths in corn; 1126 Oak Hill Drive, Lexington, Ky 40505; Start Date 05/2020; Role/Title: Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]

[Waller on Inn LLC; Extend Stay Motel built for Millennials--Smaller rooms large open spaces-Tru by Hilton, Waller Avenue, Lexington, Ky --Under Construction; Waller Avenue, Lexington, Ky 40503; Start Date 08/2021; Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; passive investor]

[Candlewood Suites LLC; Extend Stay Motel Lexington, Ky-Waller Ave. Lexington, Ky 40503----Under Construction; Waller Avenue, Lexington, Ky; Start Date 08/2020; Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours; pasive investor]

[Bluegrass Angel Venture Fund III LLC; 106 E Vine Street. Suite 600 Lexington, Ky 40507; passive investor; start date 3/2015; 0 hours per month; investment related]

[Bluegrass Angels; start date 01/2018; Pre Venture Capital group; 330 E. Main Street, Lexington, KY 40507; 2 hours per month, 0 hours during securities trading hours; investment related]

[451 Tech, LLC; They are a software developers for orthopedic surgeons.; 9812 N 36th St Phoenix, AZ; Start Date 01/2021; Role/Title: Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours][Lepidext; Develops Insecticides for the Agriculture Industry to eliminate mouths in corn; 1126 Oak Hill Drive, Lexington, KY 40505; Start Date 03/2025; Role/Title: Passive Investor; Not Investment Related; 0 hours per month; 0 hours per month during securities trading hours][Boyer Building Business Condominiums Council of Co-Owners ; Council of co-owners they meet annually to go over building necessities ; All Points Community Management 141 Prosperous Place, Suite 21A, Lexington, KY 40509; Start Date 01/2025; Role/Title: Board Member; Not Investment Related; 2 hours per month; 0 hours per month during securities trading hours]

Registration and Employment History



End of Report



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