

BrokerCheck Report

Tyrone Calvin Gates

CRD# 6480823

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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.

**Tyrone C. Gates**

CRD# 6480823

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

- B NYLIFE SECURITIES LLC**
 3655 Brookside Parkway
 Suite 400
 Alpharetta, GA 30022
 CRD# 5167
 Registered with this firm since: 03/07/2017

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
- 0 U.S. states and territories

This broker has passed:

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

Registration History

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

- B SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 ATLANTA, GA
 07/2015 - 01/2016

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Criminal	2



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 0 U.S. states and territories through his or her employer.

Employment 1 of 1

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

SRO	Category	Status	Date
<div>B</div> FINRA	Invest. Co and Variable Contracts	Approved	03/07/2017

Branch Office Locations

NYLIFE SECURITIES LLC
3655 Brookside Parkway
Suite 400
Alpharetta, GA 30022



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, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/24/2015

State Securities Law Exams

Exam	Category	Date
No information reported.		

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 07/2015 - 01/2016	SAGEPOINT FINANCIAL, INC.	133763	ATLANTA, GA

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
03/2017 - Present	NYLIFE SECURITIES LLC	PARTNER	Y	ATLANTA, GA, United States
03/2016 - Present	NEW YORK LIFE INSURANCE CO	PARTNER	Y	ATLANTA, GA, United States
06/2015 - 01/2016	SAGEPOINT FINANCIAL INC	REG REP	Y	ATLANTA, GA, United States
03/1994 - 01/2016	AIG	AGENCY DIRECTOR	Y	ATLANTA, GA, 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.

[Mt. Olive Baptist Church; Deacon for the church; 2174 Martin Luther King Drive Atlanta ga. 30310; 10 hours per month; non-investment related; no compensation]

[Insurance Brokering; Appointed with outside carriers for the purpose of brokering non-registered insurance products; 230 16th Street Rock Island, IL 61201; Start Date 08/2018; Role/Title: Independent Contractor; Investment Related; 5 hours per month; 0 hours per month during securities trading hours]

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	2	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	SUPERIOR COURT OF FULTON COUNTY
Location of Court:	FULTON COUNTY, GA
Docket/Case #:	A-87789
Charge Date:	12/18/1986
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT BY TAKING
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Date of Amended Charge:	07/28/2014
Charge was Amended or reduced to:	THEFT BY TAKING
Amended No of Counts:	1



Amended Charge: Misdemeanor
Amended Plea: PETITION FOR REINSTATMENT FIRST OFFENDER ACT

Disposition of Amended Charge: Dismissed

Current Status: Final

Status Date: 01/30/1987

Disposition Date: 07/20/2014

Sentence/Penalty: PROBATION 01/30/1987 - 01/30/1989
 \$1086.00 - 01/30/1988

Broker Statement ON DECEMBER 18,1986 I WAS CHARGED WITH THEFT BY TAKING. I WAS SUBSEQUENTLY INDICTED BY A GRAND JURY IN FULTON COUNTY. THE CASE CAME UP FOR ARRAIGNMENT IN JANUARY 1987. AT THAT TIME, I ENTERED A PLEA AGREEMENT WHEREIN I WAS PLACED ON TWO YEARS OF PROBATION AND ASSESSED A \$1086.00 FINE TO BE PAID WITHIN 12 MONTHS. AS PART OF MY PLEA AGREEMENT, I WAS GRANTED FIRST OFFENDER STATUS WHICH ALLOW MY CHARGE TO BE EXPUNGED UPON SUCCESSFUL COMPLETION OF MY PROBATION. MY PROBATION DID NOT REQUIRE ANY CONTINUING COMMUNICATION WITH ANYONE FROM THE PROBATION DEPARTMENT ONCE MY FINES WERE PAID. I CONTINUED TO PAY MY FINES AS PRESCRIBED. I DID NOT RECEIVE ANY FURTHER COMMUNICATION FROM THE COURT AND ASSUMED MY FIRST OFFENDER STATUS MEANT THE CHARGE HAD BEEN REMOVED FROM MY RECORD. IN APRIL OF 2014, I PULLED MY CRIMINAL BACKGROUND IN ANTICIPATION OF RENEWING MY INSURANCE LICENSE. AT THAT TIME I DISCOVERED IT HAD NOT BEEN REMOVED. FURTHER INVESTIGATION REVEALED MY FIRST OFFENDER STATUS HAD BEEN REVOKED SUBSEQUENT TO MY PROBATION ENDING. I HAD NEVER BEEN NOTIFIED THAT I HAD IN ANY WAY VIOLATED THE TERMS OF MY PROBATION AND THAT I WAS AT RISK OF LOSING MY FIRST OFFENDER STATUS. I RETAINED AN ATTORNEY TO FILE A FORMAL REQUEST TO HAVE MY FIRST OFFENDER STATUS REINSTATED. UPON PRESENTATION OF EVIDENCE, THE COURT REINSTATED MY FIRST OFFENDER STATUS. IT HAS NOW BEEN FORMALLY REINSTATED AS OF JULY 28, 2014.

Disclosure 2 of 2

Reporting Source: Broker
Formal Charges were brought in: State Court



Name of Court:	CLAYTON COUNTY STATE COURT
Location of Court:	CLAYTON COUNTY, GA
Docket/Case #:	0014120
Charge Date:	05/31/1985
Charge(s) 1 of 1	
Formal Charge(s)/Description:	BAD CHECK
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	DISMISSED
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	08/15/1985
Disposition Date:	08/15/1985
Sentence/Penalty:	DISMISSED.
Broker Statement	<p>AT THE TIME OF THE INCIDENT, MY WIFE AND I HAD SEPARATED, WHILE WE ATTEMPTED TO RESOLVE ISSUES WITH OUR MARRIAGE. WE CONTINUED TO MAINTAIN A JOINT CHECKING ACCOUNT IN WHICH WE PAID JOINT BILLS. UNFORTUNATELY, WE DID NOT COMMUNICATE WHEN WE WITHDREW MONEY FROM THE ACCOUNT AS WELL AS WE SHOULD HAVE. I OCCASIONALLY SHOPPED AT A CONVENIENCE STORE IN THE NEIGHBORHOOD. I NORMALLY WROTE A CHECK FOR MY LARGER PURCHASES. I DID INDEED WRITE THE TWO CHECKS AT ISSUE IN THE CHARGES BROUGHT. THERE WAS NO INTENT TO DEFRAUD THE STORE. I DID ATTEMPT TO RESOLVE THE MATTER PRIOR TO THE APPLICATION FOR WARRANT BEING ISSUED, HOWEVER I WAS NOT SUCCESSFUL. I WAS NEVER ARRESTED, BUT SIMPLY RECEIVED A NOTICE TO APPEAR IN COURT. I PAID A \$100.00 BOND ON JUNE 6, 1985 WHEN I RECEIVED NOTICE TO APPEAR FOR MY ARRAIGNMENT. AT THE ARRAIGNMENT ON AUGUST 15, 1985, THE COURT USED A PORTION OF THE BOND I HAD POSTED AS RESTITUTION. I HAD NO PRIOR CRIMINAL RECORD, AND AS SUCH THE PROSECUTOR DEAD DOCKED THE CASE (CHOSE NOT TO PROCEED WITH FURTHER ACTION). SINCE THE CASE WAS PLACED ON THE DEAD DOCKET, I NEVER ENTERED A PLEA.</p>

End of Report



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