IAPD Report

ROBERT JOSEPH PETRILLO

CRD# 1752606

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 JOSEPH PETRILLO (CRD# 1752606)

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 **08/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	10/10/2003
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	03/04/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	M&T SECURITIES, INC.	17358	BALTIMORE, MD	07/24/2001 - 06/04/2003
B	MCDONALD INVESTMENTS INC.	566	CLEVELAND, OH	05/14/1999 - 07/18/2001
B	KEY INVESTMENTS INC.	15873	CLEVELAND, OH	07/24/1998 - 05/14/1999

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	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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VALIC FINANCIAL ADVISORS, INC.**
Main Address: 2919 ALLEN PKWY
HOUSTON, TX 77019
Firm ID#: 42803

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	10/10/2003
B	FINRA	General Securities Representative	Approved	10/10/2003
B	California	Agent	Approved	12/11/2008
IA	California	Investment Adviser Representative	Approved	01/22/2015
B	Florida	Agent	Approved	10/01/2018
IA	Florida	Investment Adviser Representative	Approved	10/01/2018
B	Massachusetts	Agent	Approved	07/17/2020
IA	Massachusetts	Investment Adviser Representative	Approved	07/17/2020
B	Michigan	Agent	Approved	08/11/2021
IA	Michigan	Investment Adviser Representative	Approved	08/11/2021
B	Missouri	Agent	Approved	06/20/2018
IA	Missouri	Investment Adviser Representative	Approved	06/20/2018
B	New Jersey	Agent	Approved	10/22/2008

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	01/30/2015
B	New York	Agent	Approved	10/28/2003
IA	New York	Investment Adviser Representative	Approved	08/16/2021
B	North Carolina	Agent	Approved	08/07/2018
IA	North Carolina	Investment Adviser Representative	Approved	08/07/2018
B	Ohio	Agent	Approved	04/06/2021
IA	Ohio	Investment Adviser Representative	Approved	06/28/2021
B	Pennsylvania	Agent	Approved	09/02/2004
IA	Pennsylvania	Investment Adviser Representative	Approved	03/04/2008
B	South Carolina	Agent	Approved	08/25/2025
IA	South Carolina	Investment Adviser Representative	Approved	08/25/2025
B	Vermont	Agent	Approved	08/06/2008
B	Virginia	Agent	Approved	04/13/2018
IA	Virginia	Investment Adviser Representative	Approved	04/16/2018

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
4300 WEST CYPRESS STREET
SUITE 425
TAMPA, FL 33607

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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/16/2002

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/21/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/03/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1987

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
B	07/24/2001 - 06/04/2003	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
B	05/14/1999 - 07/18/2001	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	07/24/1998 - 05/14/1999	KEY INVESTMENTS INC.	CRD# 15873	CLEVELAND, OH
B	10/05/1995 - 07/02/1998	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	02/23/1995 - 05/17/1995	NORTHEAST SECURITIES, INC.	CRD# 25996	MITCHELFIELD, NY
B	04/25/1994 - 11/18/1994	VISION INVESTMENT GROUP, INC.	CRD# 28135	
B	12/13/1993 - 02/24/1994	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ
B	02/29/1992 - 10/20/1992	NEW ENGLAND SECURITIES	CRD# 615	
B	02/28/1992 - 10/20/1992	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	07/30/1990 - 10/10/1990	MONARCH SECURITIES, INC.	CRD# 2809	
B	04/19/1989 - 07/18/1989	GREAT LAKES EQUITIES CO.	CRD# 16175	
B	03/10/1989 - 03/27/1989	PRINCETON FINANCIAL GROUP, INC.	CRD# 14597	
B	11/25/1987 - 02/27/1989	POWER SECURITIES CORPORATION	CRD# 15527	

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
12/2022 - Present	AGIA	Agent	N	Houston, TX, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2003 - Present	VALIC FINANCIAL ADVISORS	FINANCIAL ADVISOR	Y	TAMPA, FL, 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.

HOA BOARD MEMBER
POSITION: President NATURE: HOA Board Member,HOA meetings to discuss home owner issues with no financial interest or compensation. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2021
ADDRESS: 503 S Westland Ave. Unit 3, Tampa FL 33606, United States
DESCRIPTION: President of Home Owners Association

AGIA
POSITION: Agent NATURE: null INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1 START DATE: 12/16/2022
ADDRESS: 2929 Allen Parkway, Houston TX 77019, United States
DESCRIPTION: Non-Securities Insurance Products

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	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF LOUISIANA
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	05/05/1994
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	VISION INVESTMENT GROUP, INC
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	ALLEDGED VIOLATION OF THE LOUISIANA SECURITIES ACT , LRS51:701-725; DOING BUSINESS WITHOUT REGISTRATION AS AN AGENT/SALES PERSON IN THE STATE OF LOUISIANA THROUGH THE CRD SYSTEM.
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/05/1994
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	CAN NOT DO BUSINESS IN THE STATE OF LOUISIANA WITHOUT BEING REGISTERED AS AN AGENT.

Broker Statement	I BASICALLY RECEIVED AN IN BOUND CALL AS THE "BROKER OF THE DAY" AND HELD A CONVERSATION WITH A POSSIBLE INVESTOR LOOKING FOR INFORMATION ON A PARTICULAR STOCK. AFTER I BECAME AWARE THAT THE POSSIBLE INVESTOR WAS A RESIDENT OF A STATE IN WHICH I WAS NOT PROPERLY REGISTERED TO DO BUSINESS I TERMINATED THE CALL AND NEVER SPOKE TO THE PERSON AGAIN. THERE WAS NEVER ANY DISCIPLINARY ACTION TAKEN BY THE NASD.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	MICHIGAN
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	12/27/1989
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	GREAT LAKES EQUITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	N/A
Sanction Details:	N/A
Regulator Statement	ROBERT JOSEPH PERTILLO'S REGISTRATION WAS REVOKED DUE TO THE FAILURE TO PAY THE BALANCE OF THE $30 1989 RENEWAL FEE, IN THE AMOUNT OF $15. DOCKET/CASE NUMBER NOT PROVIDED, DATED DECEMBER 27, 1989.

Reporting Source:	Individual
Regulatory Action Initiated By:	GREAT LAKES EQUITIES/STATE OF MICHIGAN DEPT OF COMMERCE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/02/1989
Docket/Case Number:	

Employing firm when activity occurred which led to the regulatory action:	GREAT LAKES EQUITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	REGISTRANT HAD FAILED TO PAY THE BALANCE OF HIS/HER REGISTRATION RENEWAL FEE IN THE AMOUNT OF $15.00 FOR THE YEAR 1989.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/27/1989
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	BALANCE DUE HAS BEEN PAID IN FULL IN THE AMOUNT OF $15.00
Broker Statement	I, ROBERT PETRILLO, WHILE EMPLOYED AT GREAT LAKES EQUITIES PAID THE $30.00 STATE REGISTRATION RENEWAL FEE THROUGH PAYROLL DEDUCTION. SUBSEQUENT TO MY LEAVING THE FIRM, I RECEIVED NOTIFICATION FROM THE STATE OF MICHIGAN DEPT OF COMMERCE THAT I OWED A $15.00 REGISTRATION RENEWAL FEE. THE BALANCE DUE, OWED BY GREAT LAKES EQUITIES, WHICH IS OUT OF BUSINESS, HAS SINCE BEEN PAID BY MYSELF.

End of Report

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