



IAPD Report

RODNEY DWAYNE JONES

CRD# 2936674

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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.



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

RODNEY DWAYNE JONES (CRD# 2936674)

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 **03/24/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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
IA	VALIC FINANCIAL ADVISORS, INC.	42803	LINTHICUM HEIGHTS, MD	02/25/2009 - 03/24/2026

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	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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

02/24/2009



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	02/25/2009 - 03/24/2026	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LINTHICUM HEIGHTS, M

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
09/2008 - Present	VALIC FINANCIAL ADVISORS	FINANCIAL ADVISOR	Y	LINTHICUM, MD, 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.

JONES STREET ENTERPRISES LLC

POSITION: Owner NATURE: I am setting up this OBA to purchase home for rental and renovation of homes for resale.

INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 07/07/2021

ADDRESS: 2751 Homecoming Lane, Walsdorf MD 20603, United States

DESCRIPTION: I seek home to renovate for rental and resale. I identify properties thru real estate agents. Once a purchase is ratified if hire a contractor to complete all the renovations and manage the project.

AGIA

POSITION: Agent NATURE: null INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1
START DATE: 12/17/2022

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
Customer Dispute	2

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:	VALIC FINANCIAL ADVISORS, INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH THE PURCHASE OF A VARIABLE ANNUITY IN SEPTEMBER 2014.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES EXCEED \$5,000
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:	02/26/2015
Complaint Pending?	No
Status:	Denied
Status Date:	03/13/2015
Settlement Amount:	

**Individual Contribution Amount:****Broker Statement**

CLIENT WAS FULLY MADE AWARE OF THE SURRENDER CHARGES AND ASSET ALLOCATION ASSOCIATED WITH THE VARIABLE ANNUITY; ALL APPROPRIATE DISCLOSURES WERE PROVIDED AT THE TIME OF PURCHASE. THE CLIENT HAD A CHANGE OF HEART AFTER SHE WAS APPROACHED BY ANOTHER AGENT TO PURCHASE A FIXED ANNUITY PRODUCT. THE CLIENT SUBMITTED A WRITTEN COMPLAINT TO HAVE SURRENDER CHARGES WAIVED IN ORDER TO PURCHASE THE RECOMMENDED FIXED ANNUITY. THE COMPLAINT IS WITHOUT MERIT.

Disclosure 2 of 2**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

VALIC FINANCIAL ADVISORS, INC.

Allegations:

CLIENT STATES THAT RR DID NOT ADVISE OF THE SURRENDER CHARGE THAT WOULD APPLY TO WITHDRAWALS IN EXCESS OF 10% OF THE ACCOUNT VALUE IN HIS IRA ACCOUNT FOLLOWING EXCHANGES INTO THE ACCOUNT FROM EXISTING MUTUAL FUND ACCOUNTS. CLIENT SEEKS REVERSAL OF THE PRODUCT EXCHANGES AND WAIVER OF APPLICABLE SURRENDER CHARGES.

Product Type:

Annuity-Variable

Alleged Damages:

\$10,993.92

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:**

04/16/2014

Complaint Pending?

No

Status:

Denied

Status Date:

05/08/2014

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

I SET UP A PDA ACCOUNT WITH [CUSTOMER] ON 12/30/13 BECAUSE HE STATED THE WANTED CONTROL OF ASSETS SO HE WANTED TO MOVE THEM OUT OF THE GROUP. IN ADDITION, WE ADDED GPA ADVICE ON THE ACCOUNT AS INDICATED ON THE ACCOUNT FOR THE MANAGED ADVICE FOR THE CLIENTS AT OR NEAR RETIREMENT. I EXPLAIN ALL THE FEATURES ASSOCIATED WITH ACCOUNT PLUS THE SURRENDER CHARGES BECAUSE HE HAD A SYSTEMATIC WITHDRAWAL PLAN ON THE ACCOUNT THAT WOULD NOT BE AFFECTED BY THE SURRENDER CHARGES, IN ADDITION, THE PDA PACKAGE IS ALWAYS LEFT BEHIND WHICH INCLUDES THE PD PROSPECTUS. I DID RECEIVE A CALL IN LATE FEBRUARY WHICH I DID NOT RETURN SINCE I WAS ATTENDING MY SERIES 7 CLASS IN SANTA ANA CA. HOWEVER, I [CUSTOMER] CONTACTED ME



AGAIN AROUND 3/14/2014 IN WHICH I RETURNED HIS CALL IN 5 MINUTES. DURING OUR CONVERSATION HE ASK TO REMOVE THE PDA ADVICE SINCE HE WANTED TO MANAGED HIS OWN ACCOUNT IN WHICH IT WAS REMOVED IMMEDIATELY. [CUSTOMER] NEVER MENTIONED HE WANTED TO ROLLOVER ANY OF ASSETS TO AN OUTSIDE AGENCY DURING ANY OF OUR APPOINTMENTS TO INCLUDE ALL THE HOME VISITS IN THE YEAR OF 2012. IN THAT CASE I WOULD HAVE NEVER WOULD HAVE SUGGESTED AND ROLLOVER IRA WITH VALIC HE HAS ALWAYS MENTIONED WE WANTED TO CONTROL ASSETS AS FAR AS INVESTMENT CHOICES. HE NEVER MADE STATED TO ME HE WANTED TO CONTROL HIS ASSETS OUTSIDE OF THE VALIC PLATFORM. HE WAS MADE AWARE THAT WE WERE CONDUCTED A ROLLOVER IRA FROM THE GROUP TO HIS IRA SO HE CAN HAVE TOTAL CONTROL OF HIS ASSETS WITH TAXATION AND NO PLAN ADMINISTRATOR CONTROL. I DID SPEAK WITH [CUSTOMER] LAST WEEK HE STATED, "HE MADE IT WAS A COMMUNICATION ERROR BECAUSE HE NEVER STATED THAT WANTED TO MOVE HIS ASSETS TO AN OUTSIDE PLAN." HE RECENTLY HAS TAKEN SOME INVESTMENTS COURSE AND NOW FEELS HE CAN BEAT THE VALIC RETURNS WITH OTHER INVESTMENTS WITH THE NEW ORGANIZATION HE IS PART OF. SORRY ABOUT THE DELAYED RESPONSE I WAS OUT OF THE OFFICE TAKING MY SERIES 7 EXAM SO I TOOK THE WEEK OF THE STUDY.

DURING ALL OF OUR APPOINTMENTS HE NEVER STATED HE WANTED TO MOVE HIS ASSETS OUT OF THE VALIC PLAN. THEREFORE, WE ROLLED HIS ASSETS INTO HIS IRA WITH FULL DISCLOSURE. I SPOKE WITH [CUSTOMER] AFTER HE FILLED THE COMPLAINT AND HE STATED THAT HE DID NOT COMMUNICATE CLEARLY WHAT HE WANTED TO DO WITH ASSETS DURING OUR CONVERSATION AFTER THE COMPLAINT. I THINK AFTER HE GOT INVOLVED WITH THIS INVESTMENT GROUP HE HAD A CHANGE OF HEART BECAUSE HE STATED HE COULD GET A BETTER RETURN WITH THE KNOWLEDGE HE RECEIVED FROM THE INVESTMENT GROUP.



End of Report

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