



IAPD Report

DAVID E QUAST

CRD# 3240983

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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

DAVID E QUAST (CRD# 3240983)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	02/10/2011
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	12/16/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	ING FINANCIAL ADVISERS, LLC	34815	WINDSOR, CT	06/23/1999 - 12/06/2010

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
Termination	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 **20** 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 Representative	Approved	02/10/2011
B	FINRA	Invest. Co and Variable Contracts	Approved	02/10/2011
B	Arizona	Agent	Approved	01/30/2025
IA	Arizona	Investment Adviser Representative	Approved	01/30/2025
B	California	Agent	Approved	09/17/2020
IA	California	Investment Adviser Representative	Approved	09/17/2020
B	Connecticut	Agent	Approved	02/14/2011
IA	Connecticut	Investment Adviser Representative	Approved	12/16/2011
B	Delaware	Agent	Approved	07/13/2018
IA	Delaware	Investment Adviser Representative	Approved	07/13/2018
IA	Florida	Investment Adviser Representative	Approved	07/17/2015
B	Florida	Agent	Approved	08/14/2015
B	Iowa	Agent	Approved	07/30/2024



Qualifications

	Regulator	Registration	Status	Date
IA	Iowa	Investment Adviser Representative	Approved	07/30/2024
IA	Maryland	Investment Adviser Representative	Approved	09/04/2024
B	Maryland	Agent	Approved	09/12/2024
B	Massachusetts	Agent	Approved	03/25/2011
IA	Massachusetts	Investment Adviser Representative	Approved	01/15/2012
B	Michigan	Agent	Approved	09/18/2024
IA	Michigan	Investment Adviser Representative	Approved	09/18/2024
B	Nevada	Agent	Approved	07/22/2024
IA	Nevada	Investment Adviser Representative	Approved	07/22/2024
B	New Hampshire	Agent	Approved	05/22/2024
IA	New Hampshire	Investment Adviser Representative	Approved	05/22/2024
B	New Jersey	Agent	Approved	04/22/2026
IA	New Jersey	Investment Adviser Representative	Approved	04/22/2026
B	New Mexico	Agent	Approved	07/19/2024
IA	New Mexico	Investment Adviser Representative	Approved	07/22/2024
B	New York	Agent	Approved	03/15/2011
IA	New York	Investment Adviser Representative	Approved	08/16/2021
IA	North Carolina	Investment Adviser Representative	Approved	06/26/2023
B	North Carolina	Agent	Approved	07/07/2023



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	03/09/2021
IA Oregon	Investment Adviser Representative	Approved	03/09/2021
B Pennsylvania	Agent	Approved	07/18/2025
IA Pennsylvania	Investment Adviser Representative	Approved	07/18/2025
B Rhode Island	Agent	Approved	12/14/2018
IA Rhode Island	Investment Adviser Representative	Approved	12/14/2018
B Vermont	Agent	Approved	11/30/2021
IA Vermont	Investment Adviser Representative	Approved	11/30/2021
IA Virginia	Investment Adviser Representative	Approved	07/21/2015
B Virginia	Agent	Approved	08/13/2015

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
EAST HAMPTON, CT



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	04/13/2010
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/22/1999

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/10/2011
Uniform Securities Agent State Law Examination (S63)	Series 63	10/09/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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
B	06/23/1999 - 12/06/2010	ING FINANCIAL ADVISERS, LLC	CRD# 34815	WINDSOR, CT

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
02/2011 - Present	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	NASHUA, NH, 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.

CHURCH COUNCIL MEMBER

POSITION: Council Member NATURE: I am one of several lay people elected to the council periodically to discuss all church matters. We then communicate updates to the Congregation in terms of the church's affairs at least annually. This is a volunteer position and people typically serve 1, 2 or 3 year terms based on the need and their availability. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 02/03/2020

ADDRESS: Bethlehem Lutheran Church, One E High Street, East Hampton CT 06424, United States

DESCRIPTION: We meet semi-annually to discuss all matters church related. There are several committees such as property, endowment, worship, finance that present reports and at times make suggestions as to the needs of the church. If needed we then vote on questions that require consideration. Depending on the size and nature of the request, we at times involve the entire congregation to meet and vote on proposals. This is spelled out in the church's constitution.

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

EAST HAMPTON/MARLBOROUGH ROTARY CLUB

POSITION: Member NATURE: Questions and Answers about Membership in the Rotary Club of East Hampton & Marlborough, CT. Why am I being invited to join Rotary? A current member of our club has nominated you for club membership and our club believes that your membership will benefit you, the club, and our community. Where does Rotary meet? Unless otherwise noted, we meet at Lakeside Bar & Grill every Wednesday starting at 6:30. Is attendance required? Regular attendance at club meetings and participation in fundraisers and events is the best way to make an impact through our club. While we do not require weekly attendance, you are encouraged to attend at least 50% of club meetings. How much are dues? The membership dues are \$185 per year billed July 1st. Is there a weekly fee? The cost of dinner at Lakeside Bar & Grill is \$32 and includes a dinner ,roll ,salad, and entre, and dessert. You may also order drinks if you are interested. What would be asked of me if I join? Give what you can,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

and contribute your time and talents as your work, family, and other commitments allow. And of course, always adhere to Rotary's four-way test. Will there be someone to help me along as I learn? Your membership has been sponsored by an existing member of our club. Your sponsor will support you along the way along with many other club members. Is the club involved in politics or religion? Rotary is a volunteer organization and is nonpolitical and nonreligious. How do I know if it is right for me before I make a commitment? We invite you to attend a few meetings prior to making any commitments. Your sponsor will reach out to you to answer any questions, and you can reach our club president with any additional questions (contact information is provided in the cover letter). What is the next step for me to become a member? Work with your club sponsor to learn more about Rotary, and our club. Then should you wish to move forward attend the scheduled Introduction to Rotary meeting (details provided in the cover letter). INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 11/20/2024 ADDRESS: 24 Bevin Blvd, East Hampton CT 06424, United States DESCRIPTION: I would donate time and talents through volunteerism and fund raising to improve the community by helping people in need.



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
Termination	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: Firm

Employing firm when activities occurred which led to the complaint: ING FINANCIAL ADVISERS, LLC

Allegations: CLIENT REQUESTED A DIRECT ROLLOVER OF PROCEEDS IN A 457 ACCOUNT INTO AN INHERITED IRA ESTABLISHED FOR HER BENEFIT. CLIENT STATES SHE COMMUNICATED TO THE REPRESENTATIVE HER INTENT TO WITHDRAW A PORTION OF THESE FUNDS FOR PERSONAL USE AND THEN REDEPOSIT THE WITHDRAWN FUNDS BACK INTO THE IRA WITHIN 60 DAYS THROUGH AN INDIRECT ROLLOVER. CLIENT ALLEGES SHE WAS NEVER INFORMED AN INDIRECT ROLLOVER IS NOT PERMITTED FOR INHERITED IRAS. THE CLIENT REQUESTED REIMBURSEMENT FOR THE TAX CONSEQUENCES ASSOCIATED WITH THE WITHDRAWAL THAT SHE WAS UNABLE TO REDEPOSIT.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT INDICATED COMPENSATORY DAMAGE AMOUNT. CLIENT REQUESTED REIMBURSEMENT TO COVER ANY TAX CONSEQUENCES RESULTING FROM THE WITHDRAWAL

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC No



reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 11/01/2010

Complaint Pending? No

Status: Settled

Status Date: 03/08/2011

Settlement Amount: \$15,750.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ING FINANCIAL ADVISORS, LLC

Allegations: CLIENT REQUESTED A DIRECT ROLLOVER OF PROCEEDS IN A 457 ACCOUNT INTO AN INHERITED IRA FOR HER BENEFIT. CLIENT COMMUNICATED TO ME THAT IT WAS HER INTENT TO WITHDRAW A PORTION OF THESE FUNDS FOR PERSONAL USE AND THEN REDEPOSIT THE WITHDRAWN FUNDS BACK INTO THE IRA WITHIN 60 DAYS THROUGH AN INDIRECT ROLLOVER. I CALLED THE PRODUCT SPONSOR AND CUSTODIAN ING FUNDS TWICE ON A RECORDED PHONE LINE, EXPLAINED THE REQUEST AND ASKED IF IT WAS PERMISSIBLE. THEY INSTRUCTED ME TO INFORM THE CLIENT THAT IT WAS, WHICH I DID. WHEN THE CLIENT ATTEMPTED TO REINVEST THE WITHDRAWAL BACK INTO THE INHERITED IRA AND WAS TOLD BY ING FUNDS THAT IT WAS NOT PERMISSIBLE, SHE REQUESTED TO BE REIMBURSED BY ING FOR HER TAX OBLIGATIONS.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ACCORDING TO THE FIRM, CLIENT DID NOT SPECIFY DAMAGE AMOUNT. ACCORDING TO THE FIRM, CLIENT REQUESTED REIMBURSEMENT OF THEIR TAX OBLIGATIONS ASSOCIATED WITH THIS WITHDRAWAL WHICH THEY WERE UNABLE TO REDEPOSIT.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/01/2010

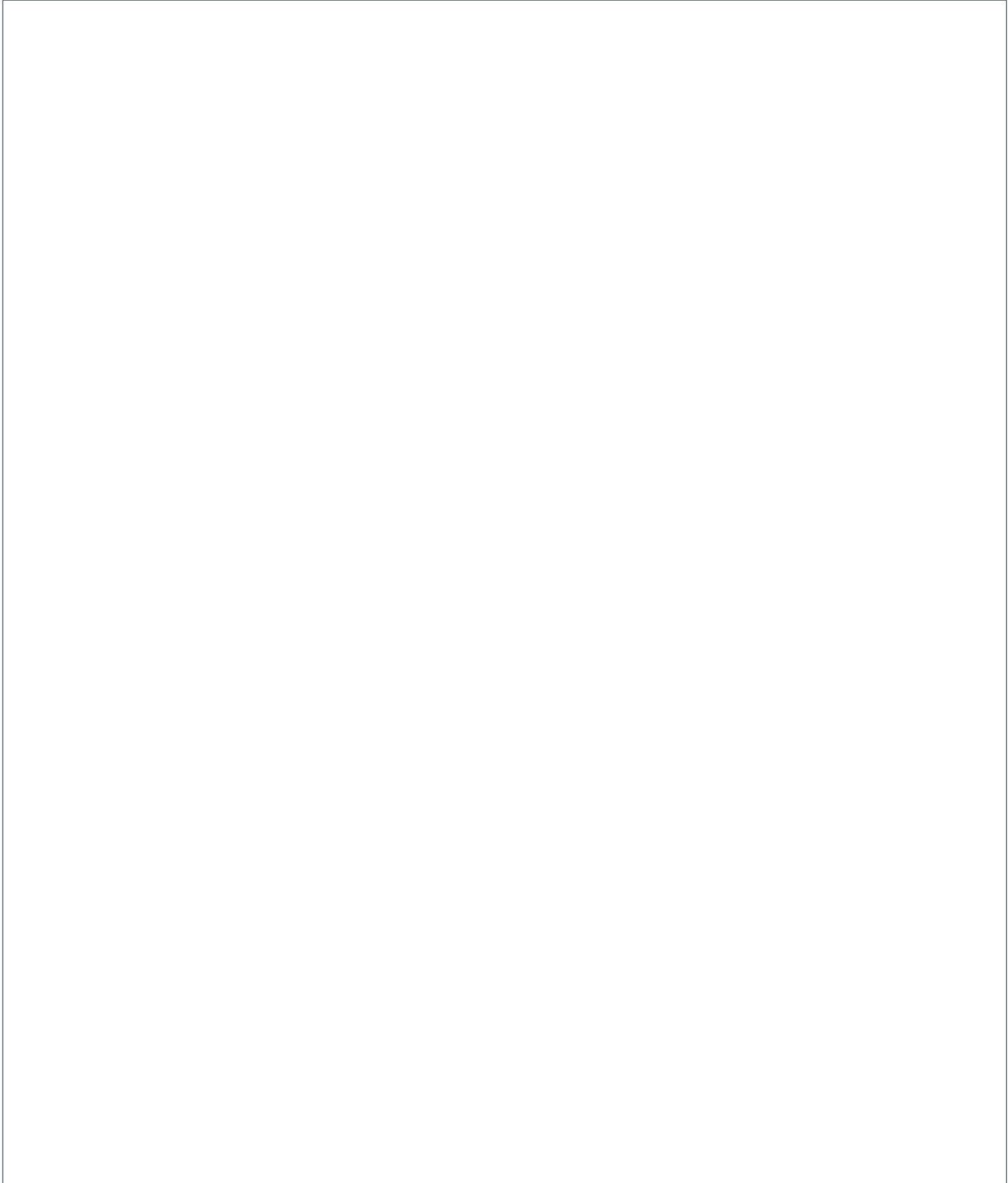
Complaint Pending? No

Status: Settled

Status Date: 03/08/2011

Settlement Amount: \$15,750.00

Individual Contribution Amount: \$0.00





Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: ING FINANCIAL ADVISERS, LLC
Termination Type: Discharged
Termination Date: 11/17/2010
Allegations: REPRESENTATIVE WAS TERMINATED FOR NOT FOLLOWING FIRM POLICIES AND PROCEDURES FOR MAKING INVESTMENT RECOMMENDATIONS.
Product Type: Mutual Fund

Reporting Source: Individual
Firm Name: ING
Termination Type: Discharged
Termination Date: 11/17/2010
Allegations: NOT FOLLOWING FIRM'S POLICIES AND PROCEDURES, INCLUDING THE PROCESS FOR MAKING INVESTMENT RECOMMENDATIONS.
Product Type: No Product

Broker Statement A SERIOUSLY ILL CLIENT'S SISTER CALLED ME WITH THE CLIENT PRESENT REQUESTING GENERAL INFORMATION IN REGARDS TO ADDRESS AND PAYEE INSTRUCTIONS FOR A ROLLOVER CHECK GOING INTO MY CLIENT'S ACCOUNT. I PROVIDED HER WITH THIS. NO PERSONAL OR ACCOUNT INFORMATION WAS DISCLOSED DURING THE COURSE OF THE PHONE CALL. ING TOOK ISSUE WITH THE FACT THAT I DID NOT OBTAIN PERMISSION FROM THE CLIENT AUTHORIZING ME TO SPEAK WITH HER SISTER ABOUT HER ACCOUNT. THEY ALSO FELT THAT I DID NOT REVIEW THE CLIENT'S INVESTMENT OBJECTIVES. THIS WAS A FAIRLY NEW CLIENT WHO WAS ULTRA CONSERVATIVE. 100% OF HER MONEY WAS IN A FIXED, INTEREST BEARING INVESTMENT. THERE WAS NO REASON TO BELIEVE THAT HER RISK TOLERANCE HAD CHANGED. I COMPLETELY DISAGREE WITH ING'S POINT OF VIEW IN REGARDS TO THIS MATTER.



End of Report

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