



IAPD Report

TARA CLAUDINE PRINDIBLE

CRD# 4656634

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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

TARA CLAUDINE PRINDIBLE (CRD# 4656634)

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 **11/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	03/26/2008
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	03/26/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	MML INVESTORS SERVICES, INC.	10409	BALA CYNWYD, PA	01/19/2007 - 03/28/2008
IA	AXA ADVISORS, LLC	6627	BALA CYNWYD, PA	07/24/2003 - 01/11/2007
B	AXA ADVISORS, LLC	6627	BALA CYNWYD, PA	06/13/2003 - 01/11/2007

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



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 **8** 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	03/26/2008
B	Delaware	Agent	Approved	03/26/2008
IA	Delaware	Investment Adviser Representative	Approved	06/21/2013
B	Florida	Agent	Approved	02/06/2020
IA	Florida	Investment Adviser Representative	Approved	02/10/2020
B	Maryland	Agent	Approved	03/26/2008
B	New Jersey	Agent	Approved	03/26/2008
IA	New Jersey	Investment Adviser Representative	Approved	03/26/2008
B	New York	Agent	Approved	02/09/2016
IA	New York	Investment Adviser Representative	Approved	08/16/2021
B	North Carolina	Agent	Approved	04/25/2022
IA	North Carolina	Investment Adviser Representative	Approved	04/26/2022
B	Pennsylvania	Agent	Approved	03/26/2008



Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	06/03/2008
B South Carolina	Agent	Approved	04/25/2022
IA South Carolina	Investment Adviser Representative	Approved	05/02/2022

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
307 FELLOWSHIP ROAD
SUITE 205
MOUNT LAUREL, NJ 08054



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, 2 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	06/12/2003
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	07/23/2003
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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	01/19/2007 - 03/28/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	BALA CYNWYD, PA
IA	07/24/2003 - 01/11/2007	AXA ADVISORS, LLC	CRD# 6627	BALA CYNWYD, PA
B	06/13/2003 - 01/11/2007	AXA ADVISORS, LLC	CRD# 6627	BALA CYNWYD, PA

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
03/2008 - Present	VALIC FINANCIAL ADVISORS	FINANCIAL ADVISOR	Y	MALVERN, PA, 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.

YOUNG LIVING

POSITION: Consultant NATURE: multi level marketing, wholesale purchase of products INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/12/2018 ADDRESS: 3125 Executive Parkway, Lehi UT 84043, United States DESCRIPTION: Young Living, 3125 Executive Parkway, Lehi, UT 84043, Non-investment related, commenced activity 11/12/2018, Consultant with duties which include purchasing products at discounted price, possible override commissions.1% hours/month is devoted to this activity with none during securities trading hours.Rodan and Fields. 60 Spear Street, Suite 600, san Francisco, CA 94105. Non-investment related. Commenced activity 01/16/2019. Consultant with duties which include sales of skin care products. Less than 1% hours/month is devoted to this activity with none during securities trading hours.

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

COACH-MOORESTOWN LACROSSE

POSITION: Coach NATURE: Coaching 5/6 boys lacrosse spring only, evenings and weekends INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 03/29/2020 ADDRESS: PO Box 683, Moorestown NJ 08057, United States DESCRIPTION: Coach children's lacrosse



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MOORESTOWN REPUBLICAN MUNICIPAL COMMITTEE

POSITION: District Representative NATURE: Represent local voting district on committee for Moorestown Republican Club

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2020

ADDRESS: PO Box 73, Moorestown NJ 08057, United States

DESCRIPTION: 4-6 meetings per year to discuss local issues

SEAT GEEK (PHILLIES TICKET RESALE)

POSITION: list tickets occasionally NATURE: ticket resale INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 05/01/2023

ADDRESS: 902 Broadway FL 10, New York NY 10010, United States

DESCRIPTION: List tickets I cannot personally use to reimburse for cost

MOORESTOWN LACROSSE CLUB PRESIDENT

POSITION: President NATURE: I am currently the VP of Admin for the board disclosed under OBA and have been asked to take the role of President (VP role would be ending) to oversee the season management for the lacrosse teams in our local town and act as liaison between our town and the South Jersey league. INVESTMENT RELATED: No NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 0 START DATE: 11/01/2024

ADDRESS: PO Box 683, Moorestown NJ 08057, United States

DESCRIPTION: Oversee communication between lacrosse Board and local community to promote the sport in town and manage club expectations for feeding high school program. There is a separate Board who handles financial responsibilities (called the Upper Board) but occasionally I may be asked to vote on things like pricing on registration and uniforms or sponsorships for the season. We have a Treasurer who directly deals with the finances and President does not have any check writing ability.



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

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:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGED THAT I RECOMMENDED SHE CANCEL HER EXISTING ANNUITY AND PURCHASE ANOTHER VARIABLE ANNUITY WHICH SHE NOW REALIZES WAS NOT IN HER BEST INTEREST. CLIENT IS REQUESTING TO BE RELEASED FROM THE CURRENT ANNUITY WITH NO SURRENDER AND OR ADMINISTRATIVE CHARGES. DAMAGES ARE UNSPECIFIED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	02/23/2006
Complaint Pending?	No
Status:	Denied
Status Date:	03/28/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.



End of Report

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