



IAPD Report

SCOTT E HIRSCH

CRD# 5308416

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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

SCOTT E HIRSCH (CRD# 5308416)

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 **12/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	07/20/2015
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	07/23/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **47** 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
IA	STRATEGIC ADVISERS, INC.	104555	BROOKLYN, NY	09/15/2009 - 04/03/2015
B	FIDELITY BROKERAGE SERVICES LLC	7784	MILLBURN, NJ	09/05/2007 - 04/03/2015
B	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	17507	DURHAM, NC	04/05/2007 - 07/18/2007

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
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 **47** 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
	FINRA	General Securities Representative	Approved	07/20/2015
	FINRA	General Securities Principal	Approved	04/03/2017
	FINRA	Municipal Fund	Approved	05/30/2017
	FINRA	Municipal Securities Representative	Approved	10/20/2023
	Alabama	Agent	Approved	01/20/2023
	Alabama	Investment Adviser Representative	Approved	01/20/2023
	Alaska	Agent	Approved	01/26/2023
	Alaska	Investment Adviser Representative	Approved	02/15/2023
	Arizona	Agent	Approved	09/12/2017
	Arizona	Investment Adviser Representative	Approved	09/12/2017
	Arkansas	Agent	Approved	01/31/2023
	Arkansas	Investment Adviser Representative	Approved	02/06/2023
	California	Agent	Approved	12/14/2016



Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	12/14/2016
B	Colorado	Agent	Approved	10/06/2020
IA	Colorado	Investment Adviser Representative	Approved	10/06/2020
IA	Connecticut	Investment Adviser Representative	Approved	08/26/2015
B	Connecticut	Agent	Approved	09/18/2015
B	Delaware	Agent	Approved	04/06/2017
IA	Delaware	Investment Adviser Representative	Approved	04/06/2017
B	District of Columbia	Agent	Approved	09/13/2017
IA	District of Columbia	Investment Adviser Representative	Approved	10/26/2017
B	Florida	Agent	Approved	08/05/2016
IA	Florida	Investment Adviser Representative	Approved	05/05/2017
B	Georgia	Agent	Approved	12/14/2016
IA	Georgia	Investment Adviser Representative	Approved	12/14/2016
B	Hawaii	Agent	Approved	10/12/2017
IA	Hawaii	Investment Adviser Representative	Approved	10/12/2017
B	Idaho	Agent	Approved	01/20/2023
IA	Idaho	Investment Adviser Representative	Approved	01/20/2023
B	Illinois	Agent	Approved	11/29/2017
IA	Illinois	Investment Adviser Representative	Approved	11/29/2017



Qualifications

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	10/06/2020
B	Indiana	Agent	Approved	10/14/2020
B	Kansas	Agent	Approved	01/03/2022
IA	Kansas	Investment Adviser Representative	Approved	01/03/2022
B	Kentucky	Agent	Approved	01/20/2023
IA	Kentucky	Investment Adviser Representative	Approved	01/20/2023
B	Louisiana	Agent	Approved	01/29/2018
IA	Louisiana	Investment Adviser Representative	Approved	01/29/2018
B	Maine	Agent	Approved	09/12/2017
IA	Maine	Investment Adviser Representative	Approved	09/14/2017
B	Maryland	Agent	Approved	12/19/2016
IA	Maryland	Investment Adviser Representative	Approved	12/19/2016
B	Massachusetts	Agent	Approved	02/08/2017
IA	Massachusetts	Investment Adviser Representative	Approved	02/14/2017
B	Michigan	Agent	Approved	09/14/2017
IA	Michigan	Investment Adviser Representative	Approved	09/14/2017
B	Minnesota	Agent	Approved	09/12/2017
IA	Minnesota	Investment Adviser Representative	Approved	09/12/2017
B	Mississippi	Agent	Approved	01/20/2023



Qualifications

	Regulator	Registration	Status	Date
IA	Mississippi	Investment Adviser Representative	Approved	01/20/2023
B	Missouri	Agent	Approved	01/19/2023
IA	Missouri	Investment Adviser Representative	Approved	01/19/2023
B	Montana	Agent	Approved	02/17/2023
IA	Montana	Investment Adviser Representative	Approved	02/17/2023
B	Nevada	Agent	Approved	12/12/2017
IA	Nevada	Investment Adviser Representative	Approved	12/13/2017
B	New Hampshire	Agent	Approved	03/17/2017
IA	New Hampshire	Investment Adviser Representative	Approved	03/17/2017
IA	New Jersey	Investment Adviser Representative	Approved	07/23/2015
B	New Jersey	Agent	Approved	07/24/2015
B	New Mexico	Agent	Approved	01/23/2019
IA	New Mexico	Investment Adviser Representative	Approved	01/23/2019
B	New York	Agent	Approved	07/24/2015
IA	New York	Investment Adviser Representative	Approved	08/16/2021
IA	North Carolina	Investment Adviser Representative	Approved	03/31/2017
B	North Carolina	Agent	Approved	04/03/2017
B	Ohio	Agent	Approved	12/14/2016
IA	Ohio	Investment Adviser Representative	Approved	12/14/2016



Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	10/18/2018
IA	Oregon	Investment Adviser Representative	Approved	10/18/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	08/20/2015
B	Pennsylvania	Agent	Approved	09/18/2015
B	Rhode Island	Agent	Approved	12/15/2016
IA	Rhode Island	Investment Adviser Representative	Approved	01/04/2017
B	South Carolina	Agent	Approved	12/14/2016
IA	South Carolina	Investment Adviser Representative	Approved	12/14/2016
B	South Dakota	Agent	Approved	12/15/2016
IA	South Dakota	Investment Adviser Representative	Approved	12/15/2016
B	Tennessee	Agent	Approved	11/29/2017
B	Texas	Agent	Approved	12/14/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	12/14/2016
B	Utah	Agent	Approved	12/27/2018
IA	Utah	Investment Adviser Representative	Approved	12/27/2018
B	Vermont	Agent	Approved	12/14/2016
IA	Vermont	Investment Adviser Representative	Approved	12/14/2016
B	Virginia	Agent	Approved	12/14/2016



Qualifications

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	12/14/2016
B Washington	Agent	Approved	12/13/2017
IA Washington	Investment Adviser Representative	Approved	12/13/2017
B West Virginia	Agent	Approved	09/21/2017
IA West Virginia	Investment Adviser Representative	Approved	09/29/2017
IA Wisconsin	Investment Adviser Representative	Approved	01/19/2023
B Wisconsin	Agent	Approved	01/20/2023
B Wyoming	Agent	Approved	01/20/2023

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
300 CONNELL DRIVE
STE 3300
BERKELEY HEIGHTS, NJ 07922

VALIC FINANCIAL ADVISORS, INC.
22 WEST PADONIA ROAD
SUITE A 307
TIMONIUM, MD 21093-2227

VALIC FINANCIAL ADVISORS, INC.
300 CONNELL DRIVE
STE 3300
BERKELEY HEIGHTS, NJ 07922

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

VALIC FINANCIAL ADVISORS, INC.
1201 WINTERSON ROAD
SUITE 130
LINTHICUM HEIGHTS, MD 21090

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	05/30/2017
	General Securities Principal Examination (S24)	Series 24	04/03/2017

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	10/20/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/04/2007
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/04/2007

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/14/2009
	 Uniform Securities Agent State Law Examination (S63)	Series 63	05/04/2007

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	09/15/2009 - 04/03/2015	STRATEGIC ADVISERS, INC.	CRD# 104555	BROOKLYN, NY
B	09/05/2007 - 04/03/2015	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	MILLBURN, NJ
B	04/05/2007 - 07/18/2007	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	CRD# 17507	DURHAM, NC

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
07/2015 - Present	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	BERKELEY HEIGHTS, NJ, 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.

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
Termination	1

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: STRATEGIC INVESTMENT ADVISERS, LLC

Termination Type: Permitted to Resign

Termination Date: 03/05/2015

Allegations: ALLEGATION THAT EMPLOYEE USED GUIDANCE TOOL INCONSISTENT WITH THE FIRM'S POLICY TO POSITIVELY IMPACT HIS PERFORMANCE METRICS. NON SALES RELATED.

Product Type: No Product

Firm Statement TERMINATION IS RELATED TO ALLEGATIONS BY FIDELITY BROKERAGE SERVICES, LLC.

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Reporting Source: Individual

Firm Name: STRATEGIC ADVISERS INC

Termination Type: Permitted to Resign

Termination Date: 03/05/2015

Allegations: ALLEGATION THAT EMPLOYEE USED GUIDANCE TOOL INCONSISTENT WITH THE FIRM'S POLICY TO POSITIVELY IMPACT HIS PERFORMANCE METRICS. NON SALES RELATED.

Product Type: No Product



End of Report

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