



IAPD Report

DANA LEIGH HODGES

CRD# 6460166

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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

DANA LEIGH HODGES (CRD# 6460166)

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 **07/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	12/10/2018
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	02/25/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **45** 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	FARMERS FINANCIAL SOLUTIONS, LLC	103863	SULPHUR SPRINGS, TX	06/15/2015 - 12/05/2018

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
Criminal	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 **45** 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	Invest. Co and Variable Contracts	Approved	12/10/2018
B	FINRA	General Securities Representative	Approved	02/15/2024
B	FINRA	General Securities Principal	Approved	01/11/2025
B	FINRA	Municipal Fund	Approved	02/01/2025
B	Alabama	Agent	Approved	02/19/2025
IA	Alabama	Investment Adviser Representative	Approved	02/19/2025
B	Alaska	Agent	Approved	02/19/2025
IA	Alaska	Investment Adviser Representative	Approved	02/19/2025
B	Arizona	Agent	Approved	02/26/2025
IA	Arizona	Investment Adviser Representative	Approved	02/26/2025
B	Arkansas	Agent	Approved	10/03/2023
IA	Arkansas	Investment Adviser Representative	Approved	10/12/2023
B	California	Agent	Approved	02/19/2025



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/19/2025
B Colorado	Agent	Approved	02/19/2025
IA Colorado	Investment Adviser Representative	Approved	02/19/2025
B Connecticut	Agent	Approved	02/19/2025
IA Connecticut	Investment Adviser Representative	Approved	02/20/2025
B District of Columbia	Agent	Approved	02/26/2025
IA District of Columbia	Investment Adviser Representative	Approved	04/04/2025
B Florida	Agent	Approved	10/25/2023
IA Florida	Investment Adviser Representative	Approved	10/25/2023
B Georgia	Agent	Approved	02/24/2025
IA Georgia	Investment Adviser Representative	Approved	02/24/2025
B Hawaii	Agent	Approved	02/20/2025
IA Hawaii	Investment Adviser Representative	Approved	02/20/2025
B Idaho	Agent	Approved	02/19/2025
IA Idaho	Investment Adviser Representative	Approved	02/19/2025
B Illinois	Agent	Approved	05/07/2025
IA Illinois	Investment Adviser Representative	Approved	05/07/2025
B Indiana	Agent	Approved	02/19/2025
IA Indiana	Investment Adviser Representative	Approved	02/19/2025



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	02/20/2025
IA Iowa	Investment Adviser Representative	Approved	02/20/2025
B Kansas	Agent	Approved	02/19/2025
IA Kansas	Investment Adviser Representative	Approved	02/19/2025
B Kentucky	Agent	Approved	02/24/2025
IA Kentucky	Investment Adviser Representative	Approved	02/25/2025
B Louisiana	Agent	Approved	02/19/2025
IA Louisiana	Investment Adviser Representative	Approved	02/19/2025
B Maryland	Agent	Approved	02/21/2025
IA Maryland	Investment Adviser Representative	Approved	02/21/2025
B Massachusetts	Agent	Approved	02/20/2025
IA Massachusetts	Investment Adviser Representative	Approved	04/03/2025
B Michigan	Agent	Approved	02/21/2025
IA Michigan	Investment Adviser Representative	Approved	02/21/2025
B Minnesota	Agent	Approved	02/20/2025
IA Minnesota	Investment Adviser Representative	Approved	02/20/2025
B Mississippi	Agent	Approved	02/19/2025
IA Mississippi	Investment Adviser Representative	Approved	02/19/2025
B Missouri	Agent	Approved	10/14/2025



Qualifications

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	10/14/2025
B Montana	Agent	Approved	02/26/2025
IA Montana	Investment Adviser Representative	Approved	02/26/2025
B Nebraska	Agent	Approved	02/20/2025
IA Nebraska	Investment Adviser Representative	Approved	02/27/2025
B Nevada	Agent	Approved	02/20/2025
IA Nevada	Investment Adviser Representative	Approved	02/20/2025
B New Jersey	Agent	Approved	02/19/2025
IA New Jersey	Investment Adviser Representative	Approved	02/19/2025
B New Mexico	Agent	Approved	02/28/2025
IA New Mexico	Investment Adviser Representative	Approved	02/28/2025
IA New York	Investment Adviser Representative	Approved	02/19/2025
B New York	Agent	Approved	02/20/2025
IA North Carolina	Investment Adviser Representative	Approved	02/20/2025
B North Carolina	Agent	Approved	02/24/2025
B North Dakota	Agent	Approved	02/24/2025
IA North Dakota	Investment Adviser Representative	Approved	02/24/2025
B Ohio	Agent	Approved	03/31/2023
IA Ohio	Investment Adviser Representative	Approved	03/31/2023



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	02/24/2025
IA Oklahoma	Investment Adviser Representative	Approved	02/24/2025
B Oregon	Agent	Approved	02/25/2025
IA Oregon	Investment Adviser Representative	Approved	02/25/2025
B Pennsylvania	Agent	Approved	02/20/2025
IA Pennsylvania	Investment Adviser Representative	Approved	02/20/2025
B South Carolina	Agent	Approved	02/21/2025
IA South Carolina	Investment Adviser Representative	Approved	02/21/2025
B South Dakota	Agent	Approved	02/19/2025
IA South Dakota	Investment Adviser Representative	Approved	02/19/2025
B Tennessee	Agent	Approved	02/20/2025
B Texas	Agent	Approved	12/11/2018
IA Texas	Investment Adviser Representative	Approved	02/25/2019
B Utah	Agent	Approved	02/20/2025
IA Utah	Investment Adviser Representative	Approved	02/20/2025
B Virginia	Agent	Approved	02/20/2025
IA Virginia	Investment Adviser Representative	Approved	02/20/2025
B Washington	Agent	Approved	02/19/2025



Qualifications

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	02/19/2025
B Wisconsin	Agent	Approved	02/20/2025
IA Wisconsin	Investment Adviser Representative	Approved	02/20/2025
B Wyoming	Agent	Approved	02/21/2025
IA Wyoming	Investment Adviser Representative	Approved	02/21/2025

Branch Office Locations

VALIC FINANCIAL ADVISORS, INC.
 15305 Dallas Parkway
 12TH FLOOR
 ADDISON, TX 75001

VALIC FINANCIAL ADVISORS, INC.
 8985 S. EASTERN AVENUE
 SUITE 230
 LAS VEGAS, NV 89123

VALIC FINANCIAL ADVISORS, INC.
 100 NE 5TH STREET
 1ST FLOOR
 OKLAHOMA CITY, OK 73104

VALIC FINANCIAL ADVISORS, INC.
 15333 NORTH PIMA ROAD
 SUITE 235
 SCOTTSDALE, AZ 85260

VALIC FINANCIAL ADVISORS, INC.
 12312 OLIVE BOULEVARD
 SUITE 265
 ST. LOUIS, MO 63141





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, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	02/01/2025
	General Securities Principal Examination (S24)	Series 24	01/11/2025

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	02/15/2024
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/13/2015

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2019
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/01/2015

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	06/15/2015 - 12/05/2018	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	SULPHUR SPRINGS, TX

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
12/2018 - Present	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	PLANO, TX, United States
03/2015 - 12/2018	FARMERS FINANCIAL SOLUTIONS	REGISTERED REPRESENTATIVE	Y	TYLER, TX, United States
02/2015 - 12/2018	FARMERS INSURANCE	AGENT	N	TYLER, TX, 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

NPC SPONSORED BIKINI ATHLETE

POSITION: Athlete NATURE: Bodybuilding INVESTMENT RELATED: No NUMBER OF HOURS: 7 SECURITIES TRADING

HOURS: 0 START DATE: 04/15/2025

ADDRESS: 775 County Road 1807, Yantis TX 75497, United States

DESCRIPTION: Athlete - sponsored by local businesses to pay NPC show entry fees.



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	County Court
Name of Court:	Randall County
Location of Court:	Randall County, TX
Docket/Case #:	45927-L
Charge Date:	12/12/1995
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Theft/Ck O/20 U/500
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	06/12/1997
Charge was Amended or reduced to:	Reduced
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	



Formal Charge(s)/Description: Issuance of a Bad Check

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: Guilty

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 06/12/1997

Disposition Date: 06/12/1997

Sentence/Penalty: Court found me guilty of Count II: Issuance of Bad Check on 06/12/97 and issued a Class C misdemeanor, a fine of \$100, and court costs. All monetary penalties were paid to the court in 1997. I'm sorry I can not recall the exact date - it was shortly after my court appearance that all fines were paid in full.

Broker Statement

I had written a check to Walmart for \$170.78 in January 1995. Apparently I did not have enough funds in the account at the time the check cleared, and it was returned NSF. The bank account documents were all directed to the apartment that I was living in at the time, so an unfortunate set of circumstances occurred. Shortly after writing the check, I moved and did not receive the bank NSF notice. Shortly thereafter, I went to the bank and closed the account. I did not realize that the check had not cleared when I closed the account. Because I moved several more times, I did not receive any further notice in regards to this outstanding check. Even after the check was filed for record with Randall County in December 1995, I had no idea that this item was outstanding or that a warrant had been issued. It was not until I married in 1997 and went to the DPS office to change my name that I discovered I had a warrant and I was arrested on the spot. Immediately after my arrest, I posted my bond and attended my court hearing. I pled guilty, and I guess that count 1 (theft/ck O/20 U/500) was dismissed because though it was entered on the complaint documents it does not appear in the final judgment. I paid the check amount, and all fines and penalties to the court. When I applied for my insurance license in 2015, I disclosed all of this information and provided documentation to the State of Texas. Unfortunately, I misinterpreted the U4 statement and thought the misdemeanor disclosure applied only to investment related issues, not realizing that my misdemeanor was considered fraud. I had disclosed everything to my Farmers district manager throughout my entire process.



End of Report

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