



IAPD Report

WILLIAM CHARLES SORRENTINO JR

CRD# 2361740

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Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



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

WILLIAM CHARLES SORRENTINO JR (CRD# 2361740)

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 **04/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	04/01/2024
IA	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	04/02/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	EQUITABLE ADVISORS, LLC	6627	TOMS RIVER, NJ	09/01/2020 - 04/09/2024
IA	EQUITABLE ADVISORS, LLC	6627	TOMS RIVER, NJ	09/01/2020 - 04/09/2024
IA	AXA ADVISORS, LLC	6627	BAYVILLE, NJ	03/24/2014 - 01/31/2020

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? **No**



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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VALIC FINANCIAL ADVISORS, INC.**
Main Address: 2929 ALLEN PKWY; L7-20
L3-20
HOUSTON, TX 77019-2158
Firm ID#: 42803

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/01/2024
B	FINRA	General Securities Representative	Approved	04/01/2024
B	FINRA	Municipal Securities Principal	Approved	04/01/2024
B	FINRA	Municipal Securities Representative	Approved	04/01/2024
B	Arizona	Agent	Approved	04/10/2024
B	California	Agent	Approved	04/10/2024
IA	California	Investment Adviser Representative	Approved	04/10/2024
B	Colorado	Agent	Approved	04/10/2024
IA	Colorado	Investment Adviser Representative	Approved	04/10/2024
B	Connecticut	Agent	Approved	04/10/2024
IA	Connecticut	Investment Adviser Representative	Approved	04/10/2024
B	Delaware	Agent	Approved	04/10/2024
IA	Delaware	Investment Adviser Representative	Approved	04/11/2024



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	04/10/2024
B Florida	Agent	Approved	04/10/2024
IA Florida	Investment Adviser Representative	Approved	04/11/2024
B Georgia	Agent	Approved	04/19/2024
IA Georgia	Investment Adviser Representative	Approved	04/22/2024
B Maine	Agent	Approved	04/10/2024
IA Maine	Investment Adviser Representative	Approved	04/10/2024
B Maryland	Agent	Approved	04/10/2024
B Massachusetts	Agent	Approved	04/19/2024
B Nevada	Agent	Approved	04/10/2024
IA Nevada	Investment Adviser Representative	Approved	04/11/2024
B New Hampshire	Agent	Approved	04/10/2024
IA New Hampshire	Investment Adviser Representative	Approved	04/11/2024
B New Jersey	Agent	Approved	04/01/2024
IA New Jersey	Investment Adviser Representative	Approved	04/02/2024
B New York	Agent	Approved	04/10/2024
IA New York	Investment Adviser Representative	Approved	04/10/2024
B North Carolina	Agent	Approved	04/10/2024
IA North Carolina	Investment Adviser Representative	Approved	04/11/2024



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	04/19/2024
IA Ohio	Investment Adviser Representative	Approved	04/19/2024
B Pennsylvania	Agent	Approved	04/01/2024
IA Pennsylvania	Investment Adviser Representative	Approved	04/02/2024
B South Carolina	Agent	Approved	04/10/2024
IA South Carolina	Investment Adviser Representative	Approved	04/10/2024
B Texas	Agent	Approved	04/10/2024
IA Texas	Investment Adviser Representative	Restricted Approval	04/10/2024
B Virginia	Agent	Approved	04/10/2024
IA Virginia	Investment Adviser Representative	Approved	04/10/2024
B Washington	Agent	Approved	04/10/2024
IA Washington	Investment Adviser Representative	Approved	04/10/2024

Branch Office Locations

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

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

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

VALIC FINANCIAL ADVISORS, INC.
 410 AMHERST STREET
 SUITE 310
 NASHUA, NH 03063




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 Securities Principal Examination (S53)	Series 53	02/10/2003
 General Securities Principal Examination (S24)	Series 24	11/29/2000

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/29/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/24/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/1993

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	09/01/2020 - 04/09/2024	EQUITABLE ADVISORS, LLC	CRD# 6627	TOMS RIVER, NJ
IA	09/01/2020 - 04/09/2024	EQUITABLE ADVISORS, LLC	CRD# 6627	TOMS RIVER, NJ
IA	03/24/2014 - 01/31/2020	AXA ADVISORS, LLC	CRD# 6627	BAYVILLE, NJ
B	03/20/2014 - 01/31/2020	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	02/01/2013 - 01/24/2020	AXA DISTRIBUTORS, LLC	CRD# 25900	CHARLOTTE, NC
IA	07/30/2002 - 01/17/2013	AXA ADVISORS, LLC	CRD# 6627	EDISON, NJ
B	03/28/1994 - 01/17/2013	AXA ADVISORS, LLC	CRD# 6627	EDISON, NJ
B	03/28/1994 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	07/30/1993 - 02/10/1994	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY

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
04/2024 - Present	AGIA	Agent	N	Houston, TX, United States
03/2024 - Present	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	MOUNT LAUREL, NJ, United States
09/2020 - 03/2024	Equitable Advisors LLC	Registered Representative	Y	New York, NY, United States
01/2020 - 08/2020	Unemployed	None	N	Bayville, NJ, United States
02/2014 - 01/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2013 - 01/2020	AXA DISTRIBUTORS, LLC	TERRITORY MANAGER	Y	NEW YORK, NY, United States
01/2013 - 01/2020	AXA Equitable	Employee	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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: Non-Securities Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES

TRADING HOURS: 1 START DATE: 04/01/2024

ADDRESS: 229 Allen Parkway, Houston TX 77019, United States

DESCRIPTION: Appointed as agent to sell Non-Securities products for AGIA



End of Report

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