BrokerCheck Report

PAMELA ANN CORRICK

CRD# 5886630

Section Title	Page(s)

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

PAMELA A. CORRICK

CRD# 5886630

Currently employed by and registered with the following Firm(s):

IA **VALIC FINANCIAL ADVISORS, INC.**
FAIRFIELD, IA
CRD# 42803
Registered with this firm since: 09/14/2018

B **VALIC FINANCIAL ADVISORS, INC.**
12312 OLIVE BOULEVARD
SUITE 265
ST. LOUIS, MO 63141
CRD# 42803
Registered with this firm since: 09/06/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B **CAMBRIDGE INVESTMENT RESEARCH, INC.**
CRD# 39543
FAIRFIELD, IA
09/2012 - 09/2018

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **VALIC FINANCIAL ADVISORS, INC.**

Main Office Address: **2919 ALLEN PARKWAY**
L3-20
HOUSTON, TX 77019-2158

Firm CRD#: **42803**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/06/2018
B	FINRA	General Securities Representative	Approved	09/06/2018
B	FINRA	Operations Professional	Approved	09/06/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	12/08/2022
IA	Arizona	Investment Adviser Representative	Approved	12/20/2022
B	Illinois	Agent	Approved	12/03/2020
IA	Illinois	Investment Adviser Representative	Approved	12/04/2020
B	Iowa	Agent	Approved	09/06/2018
IA	Iowa	Investment Adviser Representative	Approved	09/14/2018
B	Missouri	Agent	Approved	01/20/2021
IA	Missouri	Investment Adviser Representative	Approved	01/20/2021

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

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

VALIC FINANCIAL ADVISORS, INC.
FAIRFIELD, IA

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	12/11/2013

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	12/10/2012
B	Operations Professional Examination	Series 99	09/04/2012

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	09/14/2018
B	Uniform Securities Agent State Law Examination	Series 63	11/17/2015

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2012 - 09/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FAIRFIELD, IA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
12/2022 - Present	AGIA	Agent	N	Houston, TX, United States
09/2018 - Present	VALIC FINANCIAL ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
03/2003 - Present	PAM CORRICK ANTIQUES	OWNER	N	FAIRFIELD IOWA, IA, United States
08/2012 - 09/2018	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
01/2011 - 09/2018	CAMBRIDGE INVESTMENT RESEARCH, INC	MARKETING-PRODUCT SERVICES	Y	FAIRFIELD, IA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

TACO JOHNS, 703 WEST BURLINGTON, FAIRFIELD, IA, 1/2016 AS SOCIAL MEDIA MARKETING REP, NIR - 3 HR/WK - 0/TRADING.

INSURANCE AGENT
POSITION: Agent NATURE: Prior to working at AIG, I sold two insurance policies through Crump life insurance services. One was term life, the other whole life. I am no longer collecting trails, and I have terminated from Crump: however, I am still the agent of record INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 12/06/2019
ADDRESS: 1614 Dogwood Drive, Fairfield IA 52556, United States
DESCRIPTION: Agent of record, no duties

Registration and Employment History

Other Business Activities, continued

PAM CORRICK ANTIQUES
POSITION: Owner NATURE: I buy and sell vintage jewelry, textiles and occasion all other small collectible items.This is not investment related.
INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 12/06/2019
ADDRESS: 1614 Dogwood Drive, Fairfield IA 52556, United States
DESCRIPTION: I rent a booth and set up at occasional antique shows or flea markets. I also take things to a local consignment store to sell,and occasionally I sell something online.

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

SCHOOL OF ROCK
POSITION: Owner NATURE: My husband and I want to open a School of Rock franchise. The company is based in California, but we would build a school in Madison, Wisconsin. We do not have a building in Wisconsin yet, so I put the California address down for now.

My son works for a School of Rock franchise in Iowa. The plan is for him to leave his job there, and work for us at a franchise in Madison.

We have not started yet, so we do not have any employees and there is no income yet. It may take a few years to be profitable. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2025
ADDRESS: 1010 B St Suite 450, San Rafeal CA 94901, United States
DESCRIPTION: Owner. I will not be doing any of the duties there other than financial backing. My husband will be helping my son get started.

SOCIAL MEDIA AGENT
POSITION: Social Media Agent NATURE: I handle some advertising on social media for my husband's Taco John's restaurants INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/06/2019
ADDRESS: 1614 Dogwood Drive, Fairfield IA 52556, United States
DESCRIPTION: Posting and removing advertisements

End of Report

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