

BrokerCheck Report

DAWN LORRAINE PUGH

CRD# 6379657

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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.

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.

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.](http://www.finra.org)

DAWN L. PUGH

CRD# 6379657

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B VALIC FINANCIAL ADVISORS, INC.**
CRD# 42803
MODESTO, CA
09/2015 - 04/2024
- B FIRST INVESTORS CORPORATION**
CRD# 305
SAN JOSE, CA
02/2015 - 07/2015
- B EDWARD JONES**
CRD# 250
ST. LOUIS, MO
09/2014 - 12/2014

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/23/2014

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/17/2014

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.

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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2015 - 04/2024	VALIC FINANCIAL ADVISORS, INC.	42803	MODESTO, CA
B 02/2015 - 07/2015	FIRST INVESTORS CORPORATION	305	SAN JOSE, CA
B 09/2014 - 12/2014	EDWARD JONES	250	ST. LOUIS, MO

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
09/2015 - Present	VALIC FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	EMERYVILLE, CA, United States
02/2013 - Present	KALEAH PUBLISHING	AUTHOR AND PUBLISHER	N	SAN JOSE, CA, United States
08/2005 - Present	AMBER GROVE HOMEOWNERS ASSOCIATION	TREASURER	N	SAN JOSE, CA, United States
04/2023 - 09/2023	UCSC Silicon Valley Extension	Instructor	Y	Santa Clara, CA, 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.

KALEAH PUBLISHING

POSITION: Owner NATURE: Authored published and marketed "Winning at Pricing: How High-Tech Product Managers Can Avoid Common Mistakes

That Defeat Pricing Strategies," (California, Kaleah Publishing, 2013). INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES

TRADING HOURS: 0 START DATE: 02/03/2013



Registration and Employment History

Other Business Activities, continued

ADDRESS: 360 Maeve Ct., San Jose CA 95135, United States

DESCRIPTION: Authored published and marketed "Winning at Pricing: How High-Tech Product Managers Can Avoid Common Mistakes That Defeat Pricing Strategies," (California, Kaleah Publishing, 2013).

AMBER GROVE HOMEOWNERS ASSOCIATION

POSITION: Board Treasurer NATURE: Oversee the operation of a residential community of 168 multi-family homes including management of the real-estate assets, annual budget, and investment reserves, association expenditures, and delivery of new services.

Organizational governance, recruitment, and training of board members; building restoration and renovation project management; and creation of new community services when needed, such as security.

Incorporate capacity-building initiatives in each renovation and maintenance project including: energy-efficient lighting, water conservation and efficiency, fire hazard reduction, recycling, security, and applicable reserve investment strategy. INVESTMENT RELATED: No

NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2015

ADDRESS: 77 LasColinas Ln, San Jose CA 95119, United States

DESCRIPTION: Officer/Director of the homeowner's association that is not permitted to act on behalf of the association without the consent of the majority of board members. Additionally, I serve as Board Treasurer and my duties include:

1. I cosign with another board member all checks and promissory notes of the association. However, I do not receive or deposit funds, disperse funds, keep books of account, or prepare all budgets and financial statements for the association.
2. I am the board contact to our Edward Jones Financial Advisor for approval of reinvesting CDs: CA state law only permits the association to invest in CDs.
3. I am the board contact to our Edward Jones Financial Advisor when our property management company requests a funds transfer from our reserve account to fund a project approved by the board.
4. I am the liaison between our Edward Jones Financial Advisor and the board when financial questions are raised about our reserve accounts, e.g. what are the rules on FDIC cash limits for our reserve accounts?

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

End of Report



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