

✓ Your form was submitted to FINRA successfully. Please print this form now if you wish to retain a copy for your records.

Filing ID: 6076539 (Please retain this number for further inquiries regarding this form)

Submitted Date: Tue Apr 12 21:12:12 EDT 2022

FINRA Regulatory Tip Form

All fields marked with * are mandatory.

Tell us about your Tip

Security Name **Security Symbol**

Security Type

Date and/or Period of Activity

From Date * (MM/DD/YYYY) **To Date *** (MM/DD/YYYY)

Activity is ongoing

Type of misconduct or violation

What type of violation(s) are you Reporting?

Primary Violation *

Amount in Dispute

Tip Summary

Please provide a summary of your tip. Summary is limited to 3800 characters. *

Do not provide personal confidential information such as financial account numbers, Social Security numbers, or driver's license information. Such information will be requested by FINRA staff only when and if needed, and at the appropriate time. Also, please indicate the type of relevant supporting documentation currently in your possession (e.g. Monthly Account Statements, Canceled Checks, Correspondence to and from Firm, Advertising or Marketing Materials, etc.).

#3231040#STATE FARM VP MANAGEMENT CORP.[CRD#: 43036/SEC#: 8-50128]#####ONE STATE FARM PLAZA, BLOOMINGTON, IL 61710 ITEM 1. BOND PERIOD: from 12:01 a.m. on January 1, 2022 to 12:01 a.m. on January 1, 2023 ITEM 2. LIMITS OF LIABILITY—DEDUCTIBLE AMOUNTS: If "Not Covered" is inserted below opposite any specified INSURING CLAUSE, such INSURING CLAUSE and any other reference shall be deemed to be deleted. There shall be no deductible applicable to any loss under INSURING CLAUSE 1. sustained by any Investment Company. INSURING CLAUSE SINGLE LOSS DEDUCTIBLE LIMIT OF LIABILITY AMOUNT 1. Employee \$ 2,500,000 \$ 0 2. On Premises \$ 2,500,000 \$ 10,000 3. In Transit \$ 2,500,000 \$ 10,000 4. Forgery or Alteration \$ 2,500,000 \$ 10,000 5. Extended Forgery \$ 2,500,000 \$ 10,000 6. Counterfeit Money \$ 2,500,000 \$ 10,000 7. Threats to Person \$ 2,500,000 \$ 10,000 8. Computer System \$ 2,500,000 \$ 10,000 9. Voice Initiated Funds \$ 2,500,000 \$ 10,000 Transfer Instruction 10. Uncollectible Items of Deposit \$ 50,000 \$ 10,000 11. Audit Expense \$ 50,000 \$ 10,000 If "Not Covered" is inserted opposite any Insuring Agreement above, such Insuring Agreement and any reference thereto shall be deemed to be deleted from this Bond. >> > F-SECURITIES BY ITS FIDELITY AND COMPLIANCE OFFICER, SR. VICE PRESIDENT AND DIRECTOR, UNDER COMPLIANCE OFFICER LUDWIG WHO EXECUTED THE PRIOR INDENDURE OMISSION: "Not Covered" AND LOSSES OF -852029489.38 REGISTERED UNDER THEIR UMBRELLA OF "State Farm Associates' Funds Trust" 1. Item G.1.a.i. Legal proceedings. (a) If the Registrant responded "YES" to Item B.11.a., provide a brief description of the proceedings. As part of the description, provide the case or docket number (if any), and the full names of the principal parties to the proceeding. > LOAN IS ANNEXED IN THE DOCKET AVOIDED TO: NYSCEF 153974/2020 (b) If the Registrant responded "YES" to Item B.11.b., identify the proceeding and give its date of termination. > LOAN IS ANNEXED IN THE DOCKET AVOIDED TO: NYSCEF 153974/2020 > H-UNCOLLECTIBLE ITEMS OF DEPOSIT IS ANNEXED IN NYSCEF 153974/2020 State Farm Associates' Funds Trust
<https://www.sec.gov/Archives/edgar/data/0000093715/000009371520000003/af2020.txt>
#####<https://brokercheck.finra.org/individual/summary/2992788>##### NAME: HARBERT, RANDALL HOUSTON #####
#####CRD NUMBER: 2992788##### STATES REGISTERED: Illinois##### POSITION: SR. VICE PRESIDENT AND DIRECTOR##### 1.A. PRESENT AFFILIATIONS / OUTSIDE BUSINESSES DISCLOSED:##### B. 2016-PRESENT, STATE FARM LIFE INSURANCE COMPANY [NON-INVESTMENT RELATED] D. 2011-PRESENT, STATE FARM LLOYDS, INC [NON-INVESTMENT RELATED]*** DIRECTOR. E. 2011-PRESENT, STATE FARM INVESTMENT MANAGEMENT CORP.[INVESTMENT RELATED]
#####<https://reports.adviserinfo.sec.gov/reports/ADV/3487/PDF/3487.pdf>##### F. 2011-PRESENT,STATE FARM VP MANAGEMENT CORP [INVESTMENT RELATED]##### *** SENIOR VICE PRESIDENT AND DIRECTOR1.B. AIDED AND ABETTED SULLIVAN PROPERTIES, AND ITS AFFILATES AND COUNSELORS.#####[RECEIVED NYSCEF: 08/11/2020]#####STIPULATION TO AMEND CAPTION AND ADD "STATE FARM REALTY MORGTGAGE LLC" #####WHICH IS MANAGED BY##### "STATE FARM LIFE INSURANCE COMPANY"#####AN OUTSIDE BUSINESS DISCLOSED BY: HARBERT, RANDALL HOUSTON, AS A DIRECTOR OF [STATE FARM VP MANAGEMENT CORP.]#####https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==##### **** EXECUTED ON 08/08/2020##### not covered and would not disclose the nyscef 153974/2020 MATTER AS THE UNREGISTERED SECURITY WAS ANNEXED THEREIN.Investment Company Act File Number 811-22538#####https://www.sec.gov/Archives/edgar/data/0000093715/000114554922006149/xslFormN-CEN_X01/primary_doc.xml#16368-809-301-165.

Tell us about the firm or entity about which you have a tip

Firm Name: *

STATE FARM VP MANAGEMENT CORP.

CRD Number:

43036

Tell us about the individual about whom you have a tip

Type the individual's name or CRD Number below. If that individual is registered with FINRA, you will be able to look him or her up from brokercheck.finra.org. If you do not see the individual's name or CRD Number in brokercheck.finra.org, please enter the name in the boxes below.

Last Name:

SMITH

First Name:

PAUL

Middle Name:

JOSEPH

Individual CRD Number:

4971235

Street ONE STATE FARM PLAZA

Apt/Suite/Bldg

City BLOOMINGTON

Country United States

State ILLINOIS

Postal Code 61710

Country code 1

Area code 309

Phone Number 7350561

Tell us about yourself

All the information will be treated in confidence to the fullest extent possible. However, FINRA cannot guarantee that during the course of a related investigation or possible prosecution of the matter the source of the tip will not become known. Unless you provide an email address or a mailing address or a telephone number, checking 'Yes' will prevent us from following up with you to gather additional details.