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Filing ID: 6109023 (Please retain this number for further inquiries regarding this form)

Submitted Date: Tue Apr 19 13:58:59 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.).

+++ ADVISERS INVESTMENT TRUST: FILE NUMBER 811-22538  
 "https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN\_X01/primary\_doc.xml" [CIK NUMBER: 1516523] PREVIOUSLY UNDER CIK 93715 AND COLLECTED THE PREMIUMS AS RECORDED IN THESE TWO FILINGS IN THE SEC ARCHIVES> \*\*\* 2020-2021 ANNUAL FILING  
 https://www.sec.gov/Archives/edgar/data/0000093715/000114554921006167/xslFormN-CEN\_X01/primary\_doc.xml \*\*\* 2021-2022 ANNUAL FILING https://www.sec.gov/Archives/edgar/data/0000093715/000114554922006149/xslFormN-CEN\_X01/primary\_doc.xml \*\*\* STATE FARM INVESTMENT MANAGEMENT CRD 3487 CRFN ID.: 2020052000291002 FILED WITH THE NY CITY FINANCE REGISTER - UNREGISTERED AS A LETTER OF CREDIT AND OMISSION "KNOWN" AS THEIR FIDUCIARY 'KYC' STANDARDS... \*\* PAID NEARLY 1 MILLION DOLLARS TO "CEASE TO EXIST AS AN INVESTMENT MANAGER" \*\*\* MISLEAD INVESTORS ACCOUNTING FOR A \$10 BILLION DOLLAR MUTUAL FUND AND MERGER IN POSTHASTE LOST THE EXCESS OF 852,000,000.00. \*\*\* UNDER [C.16] OF THEIR RESPONSIBILITIES FAILED TO DISCLOSE UNDER TH FILER ### TCRRReport-16491-117-831-823# AND ALSO TCR FILE ##16368-809-301-165 was submitted on Saturday, November 13, 2021 AND TO THEIR INSTITUTIONAL SALES & TRADING DESK VIA BLOOMBERG <BDINCER1768@BLOOMBERG.NET>## THE MATTER OF NYSCEF 153974 AND LOAN 50074 ANNEXED IN THE FILE DOCKER NUMBER 312 ## ""https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=bVv8sIt7n3kGwHqebPg0fw=="" ### WHEREBY THIS INVESTMENT MANAGER IS STILL OPERATING... 4470740 - STATE FARM INVESTMENT MANAGEMENT -2992788 https://www.occ.gov/static/enforcement-actions/ea2020-068.pdf  
 https://www.dfs.ny.gov/system/files/documents/2020/10/ea20201030\_combined\_consent\_orders.pdf 2019-0201-S: CIVIL PENALTY: \$583,900.00 2020-0239-S: CIVIL PENALTY: \$671,200.00 2020-0280-S: CIVIL PENALTY: \$644,700.00 \*\*\*\*\* FINED: \$9,799,000.00 \*\*\*\*\* 26 CFR § 1.6662-5 (b) Dollar limitation. No penalty may be imposed under section 6662(b)(3) for a taxable year unless The portion of the underpayment for that year that is attributable to substantial or gross valuation misstatements exceeds \$5,000 (\$10,000 in the case of a corporation other than an S corporation (as defined in section 1361(a) (1)); or a personal holding company (as defined in section 542)). This limitation is applied separately to each taxable year for which there is a substantial or gross valuation misstatement. +++ NOTICE TO STATE FARM:  
 "https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=H4jMXghoLMU1ozmj4VYHg==" 4470740 - STATE FARM INVESTMENT MANAGEMENT -2992788 +++ ADVISERS INVESTMENT TRUST: FILE NUMBER 811-22538 ARE STILL THEIR C.16 FIDUCIARY BROKERS WITH INSIDE INFORMATION NOT DISSEMINATED TO THE PUBLIC ## NO CRD NOTICE FOR ITS INVESTORS WHO LOST ROUGHTLU "https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN\_X01/primary\_doc.xml" [CIK NUMBER: 1516523] (3) Property. For purposes of this section, the term "property" refers to both tangible and intangible property. Tangible property includes property such as land, buildings, fixtures and inventory. Intangible property includes property such as goodwill, covenants not to compete, leaseholds, patents, contract rights, debts and choses in action. (f) Multiple valuation misstatements on a return - (1) Determination of whether valuation misstatements are substantial or gross. The determination of whether there is a substantial or gross valuation misstatement on a return is made on a property-by-property basis. Assume, for example, that property A has a value of 60 but a taxpayer claims a value of 110, and that property B has a value of 40 but the taxpayer claims a value of 100.

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

Firm Name: \*

MORGAN STANLEY  
 CRD Number:  
 8209

### 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](https://brokercheck.finra.org). If you do not see the individual's name or CRD Number in [brokercheck.finra.org](https://brokercheck.finra.org), please enter the name in the boxes below.

Last Name: BROOKS First Name: COLIN Middle Name: R.  
 Individual CRD Number: 4776256  
 Street 777 S. Flagler Drive Apt/Suite/Bldg 700  
 City WEST PALM BEACH  
 Country United States  
 State FLORIDA  
 Postal Code 33401  
 Country code 1 Area code 561  
 Phone Number 6507500

### 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.

Do you wish to make an anonymous tip? \*

No

Yes - I wish to make an anonymous tip.

### Your Contact Information

What is the best way to contact you should we have additional questions to better understand your complaint or gather more information?

First name  Last name

Street Address

City

State

ZIP Code

Country

Email

Phone Type  Phone Number

Please select the age range that corresponds to you: \*

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