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Filing ID: 6076546 (Please retain this number for further inquiries regarding this form)

Submitted Date: Tue Apr 12 21:54:13 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) 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.).

1. <<<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=TxAa7cNVIHKtnJU/ni/zvg==>>> ADVISERS INVESTMENT TRUST [Bond Number: 70436972]
 https://www.sec.gov/Archives/edgar/data/0001516523/000119312520320913/d80254d4017g.htm[NOT COVERED [BOND PERIOD: from 12:01 a.m. on January 1, 2021 to 12:01 a.m. on January 1, 2022 ### NOT COVERED [BOND PERIOD: from 12:01 a.m. on January 1, 2022 to 12:01 a.m. on January 1, 2023]
 https://www.sec.gov/Archives/edgar/data/0001516523/000119312522025502/d207567d4017g.htm#####LIMITS OF LIABILITY#https://reports.adviserinfo.sec.gov/reports/ADV/3487/PDF/3487.pdf# unDISCLOSED NYSCEF 153974/2020 NO DISCLOSURE TO THE PUBLIC AND ADDITIONAL INVESTMENT WHICH TOOK LOSSES AT THE EXPENSE OF OMISSIONS NOW PRESENTS A EVEN GREATER RISK####
 [https://www.sec.gov/Archives/edgar/data/0000093715/000119312521278180/d222043dn8f.htm] NO ESTOPPEL DESPITE FILE Submission Number 16368-809-301-165 was submitted on Saturday, November 13, 2021 at 07:54:50 AM EST >> PROMOTING BROKERS ALSO NO DISCLOSURES IN THE CRD >> nyscef 153974/2020
 #####https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=gcMSDaFzm0ynPeXZKSHgLQ=#####STATE FARM INVESTMENT MANAGEMENT [crd 3487] was owned by [STATE FARM MUTUAL AUTOMOBILE INSURANCE COMPANY] who provides a line of credit and as its assitant secretary [TIPSORD, MICHAEL LEON (CRD#:1943922)] IS FAMILIAR WITH THE FINE IN THE PRIOR TO COLLECT PREMIUMS WHICH ARE UNREASONABLE WITH RESPECT TO THE UNDERLYING PROPERTY AT RISK. IN FACT IS CURRENTLY DISCLOSED AS AN OUTSIDE BUSINESS OF HERBERT, RANDALL HOUSTON (CRD 2992788) WHO IS THE DIRECTOR OF STATE FARM LLOYDS --- HOWEVER THIS "UNREGISTERED SECURITY" IS NON DEFEASABLE AND IS HELD ON THE BOOKS OF: THE EARLIER SEMI-ANNUAL REPORTS::: State Farm Associates Funds Trusts ::: /S/ BY PAUL SMITH, UNDER THE EXECUTION OF JOSEPH MONK, HAS NOW MERGED INTO THIS ::: >>>>https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml<<<<CIK 1516523 [WHICH IS AUDITED BY EY, PWC, AND DELOITTE] AND FOR \$9000.00 IN ACCOUNTING -- GAVE THEMSELVES A BONUS.....
 https://www.sec.gov/Archives/edgar/data/0000093715/000119312521278180/d222043dn8f.htm >>>2021-11-30 ASSETS REPORTED: https://www.sec.gov/Archives/edgar/data/0000093715/000114554922006149/xslFormN-CEN_X01/primary_doc.xml##### MORE SUBSCRIPTIONS AS ALL TICKERS [STFGX--STFBX--SFITX--SFBDX] HAVE TAKEN LOSSES... HENCE IMPOSSIBLE TO HAVE A LARGER MARKET CAP
 https://reports.adviserinfo.sec.gov/reports/ADV/3487/PDF/3487.pdf Item C.9. Investment advisers. a. Provide the following information about each investment adviser (other than a sub-adviser) of the Fund: Investment Advisers Record: 1 [NOT REGISTERED CRD 3487] https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml#####-FILED: NEW YORK COUNTY CLERK 08/09/2020 02:31 AM#####https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=gcMSDaFzm0ynPeXZKSHgLQ=##### NO CRD DISCLOSURE BY ANY OF THE FIRM MEMBERS AT CRD 3487, OR FIRM CRD#: 43036/SEC#: 8-50128
 #https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml >>>c. Are the fees waived subject to recoupment? = THEY ALSO PUSHED THOSE AUDIT FEES FOR THE MERGER... Submission Number 16368-809-301-165 was submitted on Saturday, November 13, 2021 at 07:54:50 AM EST DURING THE merger ... Hearing requests should be received by the SEC by 5:30 p.m. on November 23, 2021 --
 #####https://www.sec.gov/Archives/edgar/data/0000093715/999999999721005616/filename1.pdf##### TCR 16368-809-301-165 was submitted on Saturday, November 13, 2021 at 07:54:50 AM EST).tcr Submission Number 16491-117-831-823 (04.04.22). FRM MEMBERS AT CRD 3487.OR (FIRM CRD#:43036/SEC#:8-50128)CIK no.: 1516523.

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

Firm Name: *

STATE FARM INVESTMENT 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:

MOORE

First Name:

DAVID

Middle Name:

MICHAEL

Individual CRD Number:

2876793

Street ONE STATE FARM PLAZA

Apt/Suite/Bldg

City BLOOMINGTON

Country United States

State ILLINOIS

Postal Code 61710

Country code 1

Area code 800

Phone Number 447-0740

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.

What is your relationship? *

##<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=TxAa7cNVIHKtnJU/ni/zvg==>##
<https://iapps.courts.state.ny.us/nyscef/ViewDocument?
docIndex=gcMSDaFzm0ynPeXZKSHgLQ==>##https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/

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: *