



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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Thank you for contacting the United States Securities and Exchange Commission. This automated response confirms that your submission has been received successfully. We are always interested in hearing from the public, and your submission will be given careful consideration in view of the Commission's overall responsibilities under the federal securities laws. Please note, however, that it is the Commission's policy to conduct its investigations on a non-public basis in order to preserve the integrity of its investigative process. Subject to the provisions of the Freedom of Information Act, we cannot disclose to you any information which we may gather, nor can we confirm the existence or non-existence of an investigation, unless such information is made a matter of public record in proceedings brought before the Commission or the courts. Therefore, this may be the only response that you receive. If you want to learn more about how the Commission handles inquiries or complaints, please visit http://www.sec.gov/complaint/info_tipscomplaint.shtml.

What is your complaint about?

Q: Please select the option that best describes your complaint.

A: Material misstatement or omission in a company's public filings or financial statements, or a failure to file

Q: Please select the specific category that best describes your complaint.

A: Mergers and acquisitions

Q: Is this supplemental information to a previous complaint?

A: Yes

Q: What is the Submission Number of the previous complaint?

A: 16511-049-089-843

Q: In your own words, describe the conduct or situation you are complaining about.



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A: % % % % % % % % % % *** DOCKET 420, 1 PAGER. ## https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==

OMISSION, FAILURE TO SUPERVISE, UNFAIR DEALING AND SECURITIES
FRAUD. --- CONTINUES WITHOUT ANY NOTICE TO THE MARKET PARTICIPANTS.

LOAN 50074, BY AND BETWEEN STATE FARM AND THE SULLIVAN PROPERTIES LP https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291003

HARBERTS IS NOT LICENSED TO CONDUCT INVESTMENT BANKING OR SECURITIES TRANSACTIONS.
SIMPLY HAD THE SECRETARY NOTARIZE IT TO AVOID HIS NAME INCLUDED AS A DIRECTOR ...https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291002

<https://www.tdi.texas.gov/commissioner/disciplinary-orders/documents/20153854.pdf>
A Texas
subsidiary of State Farm was ordered to refund \$352.5 million to residential property insurance
premiums after the company's rates were found to be unreasonable in relation to the risks they covered.
STATE FARM LLOYDS IS CURRENTLY
AN OUTSIDE BUSINESS OF MR. HARBERTS AS WELL, ASSUMING A SECOND FINE WOULD BE THE
GREATER OF \$352,500,000.00 MILLION AS ENTERED PREVIOUSLY "to residential property insurance
premiums after the company's rates were found to be unreasonable in relation to the risks they covered."

>> https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==

>>> >>> <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=H4jMXghoLMU1ozmlj4VYHg==>

https://github.com/BSCPGROUPHOLDINGSLLC/ELSER-AND-DICKER/files/8601118/00420.153974_2020_Sullivan_Properties_L_P_v_Baris_Dincer_EXHIBIT_S_420.pdf >> https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g== DOCKET
ANNEXED: <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=H4jMXghoLMU1ozmlj4VYHg==>
----- State Farm Mutual Automobile Insurance Company
credit line: \$25,000,000.00 https://www.sec.gov/Archives/edgar/data/0000093715/000114554921006167/xslFormN-CEN_X01/primary_doc.xml State Farm Mutual Automobile Insurance Company credit line:
\$25,000,000.00 Morgan Stanley & Co. LLC SEC file number: 008-15869 CRD number: 8209 2020-11-30: ANNUAL
REPORT Accession number: 0001145549-21-006167 Filed: 2021-02-11 STFGX: State Farm Growth Fund
\$5,308,974,798.000000000000 [A] Gross commissions paid by the Fund for the reporting period: \$5,657.25 [B]
Aggregate brokerage commissions paid by Fund during the reporting period: \$86,127.30 https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml THE LOSSES
ARE REALIZED BY INVESTORS AS A CERTAIN " OPPORTUNITY COST " AND BENEFIT TO THE ZUCKER
ORGANIZATIONS IN THE TEN YEARS PRIOR, WHO REPORTED YoY GROSS INCOME IN A LINEAR
FASHION AND REPRESENT TO THE NY DFS THAT THE COMBINED VALUE OF ALL SIX PROPERTIES IS



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APPROXIMATELY \$22.5 MILLION AND DOUBLE DIGIT RETURNS AS REFERENCED IN THE TAX RECORDS TO THE LAST TEN YEARS. THOSE LEASES AND RENTS WERE TRANSFERRED TO STATE FARM, AND IMPOSE THE UNDERLYING "GUARANTEE" OF PAYMENT IN THE EVENT OF "INSOLVENCY" OR "LATE PAYMENT" BY THE ZUCKERS -- WHO HAVE ALSO "PROMISED" TO PAY THEM BACK, SOMEWHERE ON PAGE 800 OF THE UNREGISTERED SECURITY (THE COMBINED AND RE-STATED PROSPECTUS) WHICH I ALSO ANNEXED IN THE MATTER OF NYSCEF 153974/2020. UNDERSTOOD BY THE FOUR TICKERS IN QUESTION: TICKER: STFGX SEC FILE NUMBER: 811-01519 SERIES: S000002055 LEI: 25490064REEQMGE0GC29 CIN: C000005410 CIK: 93715 TICKER: STFBX SEC FILE NUMBER: 811-01519 SERIES: S000002056 LEI: 254900EBILZP44C0ET43 CIN: C000005411 CIK: 93715 TICKER: SFITX SEC FILE NUMBER: 811-01519 SERIES: S000002057 LEI: 254900QMKPLXFY2DO125 CIN: C000005412 CIK: 93715 TICKER: SFBDX SEC FILE NUMBER: 811-01519 SERIES: S00000205 LEI: 254900XY61CSODNC1J50 CIN: C000005413 CIK: 93715 I ANNEXED THE LOAN ON THE FOURTH OF AUGUST IN 2020, AND ALSO PROVIDED NOTICE TO ALL MATERIAL PARTIES PRIOR TO THE FOURTH AND IN JUNE, CUSTODY OF MY SECURITY DEPOSIT MAY/MAY NOT HAVE BEEN COMMINGLED AND USED AS COLLATERAL AS WELL WHEN PRESENTED TO THE STATE FARM, LOCATED AT ONE STATE PLAZA, BLOOMINGTON, IL, 61710 WHERE THE CUSTODIAN HAS CHANGED. AS THEY ARE NOW SELF-ADMINISTERED AND SELF-CUSTODIED ---- WHICH IN FACT REDUCES THE COMPLIANCE/SUPERVISORY OF THE NEW FUND WITHOUT A PUBLICLY TRADED CUSTODIAN LIKE JP MORGAN TO HANDLE THEIR AFFAIRS. xxx THIS IS WHERE THE SHERMAN ANTI-TRUST AND FAIR DEALINGS ARE "ETHICALLY" NOT NEGOTIABLE AS THOSE RIGHTS OF BULLET-PROOF LAWSUITS MUST BE PROVIDED TO ALL REAL ESTATE HOLDERS OF PROPERTY, BOTH PUBLIC AND PRIVATE, NOTWITHSTANDING THEIR VALUATION METHOD OF ACCOUNTING... A PROVISION IN THE NEW UMBRELLA (SAVED THOSE ACCOUNTING FOR LATER, BECAUSE THEY WERE NOT COVERED BY THE 40-17G INDENTURE EXECUTED BY ITS OWN COMPLIANCE OFFICER). FROM 11-16-2021 THROUGH 12-31-2021, WITHOUT FAIR DEALINGS AND AWARENESS FOR THE OTHER FIRMS IS UNDERSTOOD IN FEWER "PROMOTIONAL" DOLLARS AND MORE "BROKERAGE COMMISSIONS EARNED FOR SELLING AND TRANSACTIONS " WHICH CAN ALSO BE USED IN "SOFT DOLLARS" TO HELP PAY FOR THE AUDIT AND ACCOUNTING FEES. A LOSS IN PERCENTAGE VALUE IN EACH TICKER OF THE FUND, AND AFTER TAKING ON ADDITIONAL SUBSCRIPTIONS BY MAIL IS A HUGE OPPORTUNITY COST, AND NO DISCLOSURE OF ANY MATERIAL MATTERS OR NOTICE IN A HISTORY OF FAIR-DEALINGS TO "OTHER CONSTITUENTS" - WHO BOUGHT THOSE TICKERS, JOINED AS PROMOTING BROKERS, AND WITHOUT ANY KNOWLEDGE WANTED TO KEEP THE PREMIUMS AND INTEREST. TWO TYPES OF INCOME IS FILED: -----
STFGX: State Farm Growth Fund \$5,308,974,798.000000000000 [A] Gross commissions paid by the Fund for the reporting period: \$5,657.25 [B] Aggregate brokerage commissions paid by Fund during the reporting period: \$86,127.30 ----- #GOCARDS.../// BLOCK 803, LOT 11... * <https://github.com/users/BSCPGROUPHOLDINGSLLC/projects/1#column-18309490>
* <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=BHKQCNuN0DHZNk5LD/32Lg==>
CONTEXT:
STFGX
106.88 100.19 (6.69) -5.6456% 6,547,492,154
-642,041,003.....
-369,643,228
STFBX
87.17 82.84 (4.33)
-4.6594%
-112,297,370



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SFITX.....
9.73 9.64 (0.09)
-0.8885%
-18,899,997
SFBDX 8.91 8.40 8.16 (0.24) -2.6936% 728,601,446
-41,704,460
-19,625,628
UNFAIR DEALINGS AND NO DISCLOSURE BY THE
FIDUCIARIES OF 93715 AND
1516523.

File Date: 2020-06-08 -----INVESTMENT COMPANY ' BLANKET 'BOND "COVERAGE"
40-17G 40-17G: State Farm Associates' Funds Trust [https://fintel.io/doc/](https://fintel.io/doc/sec-sfitx-state-farm-interim-fund-4017g-2020-june-08-18422-692)
sec-sfitx-state-farm-interim-fund-4017g-2020-june-08-18422-692 BOND NUMBER: 87036120B
EFFECTIVE DATE BOND PERIOD: April 1, 2020 to April 1, 2021

-----ISSUER: ICI MUTUAL INSURANCE COMPANY
APPLICATION FILED:MERGER.....

<https://www.sec.gov/Archives/edgar/data/0000093715/9999999999721005616/filename1.pdf>

-----MERGER APPLICATION : 2021-04-23 N-8F:
STATE FARM ASSOCIATES' FUNDS TRUST FILED:MERGER.....
<https://www.sec.gov/Archives/edgar/data/0000093715/000119312521278180/d222043dn8f.htm>

NOTE: Once deregistered, a fund is still required to maintain and preserve the records described in rules 31a-
l and 31a-2 for the periods specified in those rules. -----

-----State Farm Mutual Automobile Insurance
Company credit line: \$25,000,000.00 -----

[https://www.sec.gov/Archives/edgar/data/0000093715/000114554921006167/xslFormN-](https://www.sec.gov/Archives/edgar/data/0000093715/000114554921006167/xslFormN-CEN_X01/primary_doc.xml)
CEN_X01/primary_doc.xml ----- ## ##
MAINTAINS THE SAME. -----

-----State Farm Mutual Automobile Insurance
Company ## ## ## ## \$25,000,000.00 -----

C.16 PROMOTERS. -----
-----Morgan Stanley & Co. LLC SEC file
number: 008-15869 CRD number: 8209 -----
-----individual_6507985 _ PRIYA DARSINI
RAHURAM - CRD FIRM NUMBER 8209[FILED] -----
-----_CRD MEMBER MSCO_8209-
BROOKS-4776256 -6109023[FILED] -----



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----- 2020-11-30: ANNUAL REPORT Accession

number: 0001145549-21-006167 Filed: 2021-02-11 -----

----- EX1/ STFGX: State Farm Growth Fund

\$5,308,974,798.000000000000 [A] Gross commissions paid by the Fund for the reporting period: \$5,657.25

[B] Aggregate brokerage commissions paid by Fund during the reporting period: \$86,127.30 [https://](https://www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml)

www.sec.gov/Archives/edgar/data/1516523/000114554921074536/xslFormN-CEN_X01/primary_doc.xml

THE LOSSES ARE REALIZED BY INVESTORS AS A CERTAIN " OPPORTUNITY COST " AND BENEFIT TO THE ZUCKER ORGANIZATIONS IN THE TEN YEARS PRIOR, WHO REPORTED YoY GROSS INCOME IN A LINEAR FASHION FOR THE PROPERTIES TRANSFERRED TO STATE FARM AND WERE PRESENTED TO THE NY DFS THAT THE COMBINED VALUE OF ALL SIX PROPERTIES IS APPROXIMATELY (\$22.5 MILLION FOR 144 UNITS IN 2021 PRICES, IN SOHO MANHATTAN ON SULLIVAN STREET, BETWEEN PRINCE STREET AND SPRING STREET) AND DOUBLE DIGIT RETURNS AS REFERENCED IN THE TAX RECEIPTS FOR THE LAST TEN YEARS. -----

----- THOSE LEASES AND RENTS WERE TRANSFERRED TO STATE FARM, AND IMPOSE THE UNDERLYING "GUARANTEE" OF PAYMENT IN THE EVENT OF "INSOLVENCY" OR "LATE PAYMENT" BY THE ZUCKER FAMILY AND ITS ORGANIZATIONS.

----- HAVE ALSO "PROMISED" TO REIMBURSE STATE FARM (IN THE DOCTRINE OF A RE-STATE AMENDED AND CONSOLIDATED PROSPECTUS) WHICH I ANNEXED IN THE MATTER OF NYSCEF 153974/2020 AND ALSO NOTIFIED STATE FARM, AND ITS ATTORNEYS WHO HAVE NOT RESPONDED. DESPITE MY ATTEMPTS TO END THIS IN AUGUST OF 2021, THE ZUCKERS FELT IT WOULD BE BETTER TO HARASS ME IN NY SUPREME COURT TO GAIN ACCESS TO INSPECT THE UNIT ON MY TIME. ----- EVEN ATTEMPTED TO HAVE STATE FARM RESPOND, TO NO AVAIL DECIDED TO SACRIFICE THEIR INVESTMENT ADVISER AND "MERGE" INTO A NEW SHELL AND THE GROSS NEGLIGENCE IN ACCOUNTING, AND UNFAIR DEALINGS BY ITS C.16 PROMOTERS IS NOT UNDERSTOOD BY THE "INVESTMENT COMMUNITY" DESPITE THEIR INTERESTS IN OTHER RESEARCH WHICH IS AVAILABLE FOR OTHER TICKERS, LIKE BRK-B HAS NOT MADE ANY EFFORT BEYOND COLLECTING PREMIUMS FOR THE UNDERLYING TICKERS BELOW >>>>> A FAILURE TO SUPERVISE BY ANY MEANS. UNDERSTOOD ONLY IN THE LOSSES BY ALL FOUR TICKERS IN QUESTION: -----

TICKER: STFGX SEC FILE NUMBER: 811-01519 SERIES: S000002055 LEI: 25490064REEQMGE0GC29 CIN: C000005410 CIK: 93715 ----- TICKER: STFBX SEC

FILE NUMBER: 811-01519 SERIES: S000002056 LEI: 254900EBILZP44C0ET43 CIN: C000005411 CIK: 93715

TICKER: SFITX SEC FILE NUMBER: 811-01519 SERIES: S000002057 LEI: 254900QMKPLXFY2DO125 CIN: C000005412 CIK: 93715 ----- TICKER: SFBDX SEC FILE

NUMBER: 811-01519 SERIES: S00000205 LEI: 254900XY61CSODNC1J50 CIN: C000005413 CIK: 93715

----- I ANNEXED THE LOAN ON THE FOURTH OF AUGUST IN 2020, AND ALSO PROVIDED NOTICE TO ALL MATERIAL PARTIES PRIOR TO THE FOURTH AND IN JUNE: ----- CUSTODY OF MY SECURITY DEPOSIT MAY/

MAY NOT HAVE BEEN COMMINGLED AND USED AS COLLATERAL AS WELL WHEN PRESENTED TO THE STATE FARM, LOCATED AT ONE STATE PLAZA, BLOOMINGTON, IL, 61710. THIS IS WHERE THE SHERMAN ANTI-TRUST AND FAIR DEALINGS ARE "ETHICALLY" NOT NEGOTIABLE AS THOSE RIGHTS OF BULLET-PROOF LAWSUITS MUST BE PROVIDED TO ALL REAL ESTATE HOLDERS OF PROPERTY, BOTH PUBLIC AND PRIVATE, NOTWITHSTANDING THEIR VALUATION METHOD OF ACCOUNTING, TAX-EVASION... AND A PROVISION IN THE NEW UMBRELLA (WHO SAVED ACCOUNTING FOR LATER, BECAUSE THEY WERE



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<https://www.sec.gov/Archives/edgar/data/93715/999999999721005790/filename1.pdf>



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File Date

2020-07-28

<https://fintel.io/doc/sec-stfgx-state-farm-growth-fund-ncsrs-2020-july-28-18472-569>

>>\$> CODE

OF ETHICS

>>\$> <https://fintel.io/doc/sec-stfgx-state-farm-growth-fund-ex99p-2020-march-27-18441-449>

A TOTAL OF -1,357,848,214 IN FOUR MONTHS, HOWEVER AN ACCELERATED LOSS IN MONTH PRIOR.
-505,818,725

AUM: 11,016,879,728 IN THE PRIOR 11-30-2021 UNDER MANAGEMENT ON THE BASIS OF 11-30-2021 .
THE MARKET CAPITALIZATION OF THE FOUR TICKERS ABOVE REPRESENTS ADDITIONALLY
SUBSCRIPTION WERE TAKEN WITHOUT ANY NOTICE TO THE NEW OR OLD INVESTORS.

\$11,016,879,728 UNDER MANAGEMENT BY THE CIK FILER 93715, WHERE ALL DIRECTORS SURVIVED
THE MERGER INTO "CIK 1516523" AND LOAN 50074 CAN NOT BE TRANSFERRED HENCE THE
SAME BROKER DEALER "State Farm VP Management Corp. 000043036 AND ITS DIRECTORS AT
STATE FARM, ONE STATE FARM PLAZA, BLOOMINGTON, IL, 61710 ---- DID NOT CHANGE THEIR ADDRESS
EITHER. " IN THE GROSS NEGLIGENCE, NAMELY IN THE AUDITORS IN A POSTHASTE AVOIDANCE TO
CRIMINAL / CIVIL PROSECUTION WHICH WAS AIDED AND ABETTED BY THE ATTORNEYS OF SULLIVAN
PROPERTIES, LP. NOTWITHSTANDING MR. REYNOSO, SEE ALSO MANHATTAN SKYLINE MANAGEMENT
CORP WEBPAGE "ANNEXED" AND FILED WITH THE NYSCEF SYSTEM IN THE MATTER OF 153974/2020.
FAXED 212-586-9867 DIRECTLY AND DID NOT RECEIVE A RESPONSE, HOWEVER SENT A REQUEST
ABOUT AN APARTMENT IN MANHATTAN ONLINE AND RECEIVED COMMUNICATION FROM A REALTOR TO
VIEW IT. ## :::::## THE TCR REPORTS HEREIN WERE DISSEMINATED TO ITS PROMOTING BROKERS IN
THE PRIOR, ON NOV 16 2021, DEC 18TH 2021 AND AT ALL RELEVANT TIMES TO AVOID THIS "MERGER"
INTO A REGISTERED ADVISOR WITH THREE PUBLIC AUDIT FIRMS ## ## ## ## ## ## ## ## ## ## ## ## ## ## ## ##

github.com/BSCPGROUPHOLDINGSLLC/ELSER-AND-DICKER/files/8601202/Nov.16.2021.-.WMCKENZIE%40NYCOURTS.GOV.---.SEC.---.BOC%40BOC.NYC.GOV.pdf ## ## ## ## ## ## ## ## ## ## ## ## ## ## ## ##

https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291003 ## ## ## ## ## ## ## ## ## ## ## ## ## ## ## ##

https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291002 NOTE: Once



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deregistered, a fund is still required to maintain and preserve the records described in rules 31a-1 and 31a-2 for the periods specified in those rules. State Farm Mutual Automobile Insurance Company credit line: \$25,000,000.00

Q: Are you having or have you had difficulty getting access to your funds or securities?

A: Yes

Q: Did you suffer a loss?

A: Yes

Q: Enter amount of loss to nearest dollar without characters (e.g., 15000, not \$15,000.00).

A: 505818725

Q: When did you become aware of the conduct? (mm/dd/yyyy)

A: 06/04/2021

Q: When did the conduct begin? (mm/dd/yyyy)

A: 05/11/2021

Q: Is the conduct ongoing?

A: Yes

Q: Has the individual or firm acknowledged the conduct?

A: Yes

Q: How did you learn about the conduct? You may select more than one answer.

A: Account statements; SEC filings

Q: Have you taken any action regarding your complaint? You may select more than one answer.

A: Legal action



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Q: Provide details.

A: I found this letter of credit between State Farm and Sullivan properties LP, which Guaranteed in the event of insolvency by Sullivan Properties LP. The properties used as "Assets" notwithstanding unlawful rents and leases that have no grounds to collect security deposits or legal rents were also Transferred to the State Farm and upon discovery of the "TAX EVASION" which carries back taxes in excess of \$250,000,000.00 (two hundred and fifty million dollars) for the 6 Properties used as collateral were Notarized by a KNOWN " STATE FARM [https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291003] [https://a836-acris.nyc.gov/DS/DocumentSearch/DocumentImageView?doc_id=2020052000291002] is a LETTER OF CREDIT and also can not be DEFEASED until the title is clear of ALL FEDERAL, STATE AND LOCAL taxes. HENCE, for \$6,000,000.00 the State Farm at ONE STATE FARM PLAZA, BLOOMINGTON, IL, 61710 should have accepted my invitation to respond on the 8th of August in 2021 -- where they could have cancelled the LOAN 50074 within the 90-day window and would not have had to use any of these GROSSLY NEGLIGENT and "evasive" techniques as referenced in their FILINGS IN THE PUBLIC EDGAR AND YAHOO/ GOOGLE FINANCE -- BUT NO RESEARCH REPORT LIKE THE ONES I FOUND FOR A COMPARABLE TICKER "BRK-B" BY THE PROMOTING BROKERS FOR THAT TICKER, WHICH IN HAPPENSTANCE IS ALSO MORGAN STANLEY.C.16 PROMOTERS. -----

----- Morgan Stanley & Co. LLC SEC file

number: 008-15869 CRD number: 8209 -----

----- individual_6507985 _ PRIYA DARSINI

RAHURAM - CRD FIRM NUMBER 8209[FILED] -----

----- _CRD MEMBER MSCO_8209-

BROOKS--4776256 -6109023[FILED] -----

Who are you complaining about?

Subject # 1

Q: Are you complaining about a person or a firm?

A: Firm

Q: Select the title that best describes the person or firm that you are complaining about.

A: Brokerage Firm/Broker-Dealer

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No



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Q: Identifier Type

A: CRD

Q: Enter the CRD Number.

A: 8209

Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

A: No

Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

A: No

Q: Firm Name

A: MORGAN STANLEY

Q: Street Address

A: 1585 BROADWAY

Q: Zip / Postal Code

A: 10036

Q: City

A: NEW YORK

Q: State / Province

A: NY



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Q: Country

A: US

Q: Work Phone

A: 2127615000

Q: Email Address

A: PRAGHURAM2@BLOOMBERG.NET

Q: Website

A: WWW.MORGANSTANLEY.COM

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: Unknown

Subject # 2

Q: Are you complaining about a person or a firm?

A: Firm

Q: Select the title that best describes the person or firm that you are complaining about.

A: Brokerage Firm/Broker-Dealer

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Identifier Type

A: CRD



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Q: Enter the CRD Number.

A: 123635

Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

A: No

Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

A: No

Q: Firm Name

A: CHATHAM ENERGY, ICE TMC, ICE CREDIT TRADE, ICE BONDS SECURITIES CORPORATION, ICE BONDPOINT...

Q: Street Address

A: 850 Third Avenue

Q: Address (Continued)

A: 9TH FLOOR

Q: Zip / Postal Code

A: 10055

Q: City

A: NEW YORK

Q: State / Province

A: NY



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Q: Country

A: US

Q: Home Phone

A: 8773928258

Q: Email Address

A: bcassese19@bloomberg.net

Q: Website

A: <https://www.tmcbondd.com/>

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: No

Subject # 3

Q: Are you complaining about a person or a firm?

A: Firm

Q: Select the title that best describes the person or firm that you are complaining about.

A: Investment Adviser

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Identifier Type

A: CRD



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Q: Enter the CRD Number.

A: 110037

Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

A: No

Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

A: No

Q: Firm Name

A: ICE DATA PRICING & REFERENCE DATA, LLC

Q: Street Address

A: 100 CHURCH STREET

Q: Address (Continued)

A: 11TH FLOOR

Q: Zip / Postal Code

A: 10007

Q: City

A: NEW YORK

Q: State / Province

A: NY



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Q: Country

A: US

Q: Email Address

A: contact@trdata.com

Q: Website

A: <https://trdata.com/about-ice-data-service/>

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: No

Subject # 4

Q: Are you complaining about a person or a firm?

A: Firm

Q: Select the title that best describes the person or firm that you are complaining about.

A: Transfer agent/paying agent/registrar

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Identifier Type

A: CRD

Q: Enter the CRD Number.

A: 7927



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Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

A: No

Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

A: No

Q: Firm Name

A: NORTHERN TRUST SECURITIES, INC.

Q: Street Address

A: 50 SOUTH LASALLE STREET

Q: Zip / Postal Code

A: 60603

Q: City

A: CHICAGO

Q: State / Province

A: IL

Q: Country

A: US

Q: Email Address

A: sjs5@ntrs.com



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Q: Website

A: WWW.NTRS.COM

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: Yes

Subject # 5

Q: Are you complaining about a person or a firm?

A: Person

Q: Select the title that best describes the person or firm that you are complaining about.

A: Compliance officer

Q: Where is the person that you are complaining about employed?

A: MORGAN STANLEY

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Person's Title

A: Mr

Q: First Name

A: THOMAS

Q: Middle Name

A: E



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Last Name

A: SMALLMAN

Q: Street Address

A: 1585 BROADWAY

Q: Zip / Postal Code

A: 10036

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Email Address

A: THOMAS.SMALLMAN@MORGANSTANLEY.COM

Q: Website

A: WWW.MORGANSTANLEY.COM

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: Unknown

Subject # 6



Tips, Complaints, and Referrals

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Q: Are you complaining about a person or a firm?

A: Person

Q: Select the title that best describes the person or firm that you are complaining about.

A: Broker

Q: Where is the person that you are complaining about employed?

A: MORGAN STANLEY

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Person's Title

A: Ms

Q: First Name

A: PRIYA

Q: Middle Name

A: DARSINI

Q: Last Name

A: RAGHURAM

Q: Street Address

A: 1585 BROADWAY



Tips, Complaints, and Referrals

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Q: Address (Continued)

A: MBR #6507985

Q: Zip / Postal Code

A: 10036

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Email Address

A: PRAGHURAM2@BLOOMBERG.NET

Q: Website

A: WWW.MORGANSTANLEY.COM

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: No

Which investment products are involved?

Q: Select the type of product involved in your complaint.



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A: Other

Q: Please select the category that best describes the security product.

A: Partnership investments

Q: Enter the ticker symbol, if known.

A: STFGX

Q: Enter the product name(s)

A: STATE FARM VP MANAGEMENT CORP

About you

Submitter # 1

Q: Are you filing this tip under the SEC's whistleblower program?

A: Yes

Q: Are you an attorney filling out this form on behalf of an anonymous whistleblower client who is seeking an award?

A: No

Q: Title

A: Mr

Q: First Name

A: BARIS

Q: Last Name

A: DINCER



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Q: Street Address

A: 65 PROSPECT AVENUE

Q: Zip / Postal Code

A: 11557

Q: City

A: HEWLETT

Q: State / Province

A: NY

Q: Country

A: US

Q: Work Telephone

A: 6462563609

Q: Mobile Telephone

A: 9173783467

Q: Email Address

A: BO.DINCER@YAHOO.COM

Q: What is the best way to reach you?

A: Email



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Q: Are you represented by an attorney in connection with this matter, or would you like to provide your attorney's contact information?

A: No

Q: Select the profession that best represents you.

A: Other

Q: For Other, please specify.

A: https://en.everybodywiki.com/Maritime_Capital_Partners_LP

Q: Have you reported the matter at issue in this submission to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism for reporting possible violations at any entity you are complaining about?

A: Yes

Q: If you answered "Yes," please provide details.

A: I HAVE PROVIDED THE INFORMATION TO FINRA AND OTHER REGULATORS/ MATERIAL PARTIES AS IT BECOMES AVAILABLE TO ME.

Q: Were you retaliated against for reporting the matter at issue in this submission either internally at the entity or to a regulator?

A: No

Q: Has anyone taken steps to prevent you from reporting this violation to the SEC?

A: No

Q: Are documents or other information being submitted that could potentially identify the whistleblower?

A: Yes



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Q: Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity.

A: PLEASE FEEL FREE TO USE YOUR DISCRETION, THERE IS NOTHING HERE THAT IS NOT PUBLICLY AVAILABLE THAT I AM SUBMITTING HEREIN.

Q: Does the whistleblower want to be eligible to apply for a whistleblower award?

A: Yes

Q: 1. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer or employee of the Department of Justice; the Securities and Exchange Commission; the Comptroller of the Currency; the Board of Governors of the Federal Reserve System; the Federal Deposit Insurance Corporation; the Office of Thrift Supervision; the Public Company Accounting Oversight Board; any law enforcement organization; or any national securities exchange, registered securities association, registered clearing agency, or the Municipal Securities Rulemaking Board?

A: No

Q: 2. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer, or employee of a foreign government, any political subdivision, department, agency, or instrumentality of a foreign government, or any other foreign financial regulatory authority as that term is defined in Section 3(a)(52) of the Securities Exchange Act of 1934 (15 U.S.C. Section 78c(a)(52))?

A: No

Q: 3. Did you acquire the information being submitted to us through the performance of an engagement required under the federal securities laws by an independent public accountant?

A: No

Q: 4. Are you providing this information pursuant to a cooperation agreement with the SEC or another agency or organization?

A: No

Q: 5. Are you a spouse, parent, child, or sibling of a member or employee of the SEC, or do you reside in the same household as a member or employee of the SEC?



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A: No

Q: 6. Have you or anyone representing you received any request, inquiry or demand that relates to the subject matter of your submission (i) from the SEC; (ii) in connection with an investigation, inspection or examination by the Public Company Accounting Oversight Board, or any self-regulatory organization; or (iii) in connection with an investigation by Congress, any other authority of the federal government, or a state Attorney General or securities regulatory authority?

A: No

Q: 7. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information you are submitting to the SEC?

A: No

Q: 8. Did you acquire the information being provided to us from any person described in Questions 1 through 7?

A: No

Q: I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information, and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the SEC, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious, or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious, or fraudulent statement or entry.

A: Agree



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Documents

Document Name	Document Type
[00313] 153974_2020_313 (trimmed to 6 buildings).pdf	application/pdf
153974_2020_NOTICE_OF_CROSS_MOT_224.pdf	application/pdf
EX69 --- docket 385 -- 2020-08-10 -- EMAIL TO LAURIE ZUCKER AT 1236AM.pdf	application/pdf
individual_6507985 _ PRIYA DARSINI RAHURAM - CRD FIRM NUMBER 8209[FILED].pdf	application/pdf
[STATE FARM VP 43036] 4971235- PAUL J SMITH - SEMI ANNUAL.pdf	application/pdf
[STATE FARM VP 43036]Advisers Investment Trust [CIK 1516523] MONK[CRD 1357149].pdf	application/pdf
[STATE FARM VP 43036] STATE FARM VP MANAGEMENT CORP.pdf	application/pdf
4470740 - STATE FARM INVESTMENT MANAGEMENT -2992788.pdf	application/pdf
YAHOO FINANCE STATE FARM DATA SERVICE PROVIDERS.pdf	application/pdf



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[STATE FARM VP 43036] 3231040- LUDWIG TERRANCE.pdf	application/pdf
[STATE FARM VP 43036] LUDWIG 3231040-2004555.pdf	application/pdf
[STATE FARM VP 43036] 1943922- michael tipsord STATE FARM mutual automobile insurance company 3487.pdf	application/pdf
[STATE FARM VP 43036] 2876793 - michael david moore STATE FARM - 3487 - IA 8018184.pdf	application/pdf
[STATE FARM VP 43036]2992788 _ HARBERT.pdf	application/pdf
individual_6507985 _ PRIYA DARSINI RAHURAM - CRD FIRM NUMBER 809.pdf	application/pdf
MOV FILES DISTRIBUTED - LVL 7.html	text/html
_KPMG_EY_PWC --- STFGX - SFITX - STFBX -- NOTICE__2022_04_12.pdf	application/pdf
hq NYSE___ APR 11 2022.pdf	application/pdf
63.18 OX.pdf	application/pdf
_2021-11-13---TCRReport 16368-809-301-165.pdf	application/pdf



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_2022-04-22---TCRReport 16491-117-831-823.pdf	application/pdf
_2022-04-28---TCRReport 16511-049-089-843.pdf	application/pdf
NYC DEPT OF FINANCE - PUBLIC RECORD.pdf	application/pdf
---2020 117 SULLIVAN STREET.pdf	application/pdf
CERTIFICATES-COMBINED.pdf	application/pdf