



## 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](http://www.sec.gov/complaint/info_tipscomplaint.shtml).

### What is your complaint about?

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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: Failure to file reports

Q: Is this supplemental information to a previous complaint?

A: Yes

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

A: 16368-809-301-165

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



**Tips, Complaints, and Referrals**

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A: there was no filing and this was also avoided to--- a document that I filed in the New York State Supreme court of law <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=gcMSDaFzm0ynPeXZKSHgLQ==##> for additional supplements: see also <https://github.com/BSCPGROUPHOLDINGSLLC/ELSER-AND-DICKER/pull/11##> representative: RANDALL H. HARBERT [CRD##43036](https://www.crd.com/CRD43036) [## 12/2011](https://www.crd.com/CRD43036) - Present State Farm Lloyds, Inc. [## 12/2011 - 01/2016](https://www.crd.com/CRD43036) State Farm Health Insurance Company [## WORKS WITH TERRY LUDWIG, AND OTHER MEMBERS AT ## >> STATE FARM VP MANAGEMENT CORP. FIRM CRD # ONE STATE FARM PLAZA BLOOMINGTON, IL 61710-0001](https://www.crd.com/CRD43036) #NOT A SINGLE NOTATION AND/OR DISCLOSURE AT THIS POINT. REGARDING THE OUTSIDE BUSINESS OF — "STATE FARM REALTY MORTGAGE LLC. " <https://reports.adviserinfo.sec.gov/reports/ADV/3487/PDF/3487.pdf> <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=gcMSDaFzm0ynPeXZKSHgLQ==##> the loan was filed on the 9th of August in 2020 upon discovery in New York State Supreme Court <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=D9Td7IfWXyajw1tBNCFb9g==##> i then emailed all material parties and there is an unregistered security in the new holding company <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=D9Td7IfWXyajw1tBNCFb9g==##> i was advised by the PLAINTIFF NOT TO CONTACT ANY AUTHORITY. [https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=n\\_PLUS\\_CvSQR36fqPKko6L47FFQ==##](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=n_PLUS_CvSQR36fqPKko6L47FFQ==##) +++ RE: state farm realty insurance <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=D9Td7IfWXyajw1tBNCFb9g==##> I ORIGINALLY HAD REQUESTED AN ESTOPPEL TO THE VIOLATION OF MY PRIVACY <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=s5WAeCnxmd/hcOI4eTnbig==##> additionally an ESTOPPEL: THE ZUCKER FAMILY. VIOLATION OF MY PRIVACY <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Jf3Un/JaVXZwF7kvbaee4w==##> REQUESTED EARLIER IN NY SUPREME COURT >>> THEN EVERYONE DISAPPEARED <https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=mjjeGZ6gy4aiXQA/zboiwig==##> FROM 101 WEST 55TH STREET, AND / OR THEIR HOMES ## NO RESPONSE <https://github.com/BSCPGROUPHOLDINGSLLC/projects/1##> violation of privacy suit: was a non-joinder [https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc\\_PLUS\\_g11P4g==##](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==##) STATE FARM REALTY MORTGAGE LLC ####

[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc\\_PLUS\\_g11P4g==##](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==##)

I emailed the Inspector General and notified all parties in the prior TCR report during the DEREGISTRATION and MERGER on November 13th in 2021 was submitted prior to their MERGER into a larger firm... NOW there is an unregistered security which bears a much larger risk as STATE FARM has assumed a guarantee of any outstanding TAX PAYMENTS in the event of an insolvency by the Sullivan Properties LLP [ which I recently discovered, approximately an additional \$200,000,000.00 in taxes which were avoided by the Zucker Organizations at 101 west 55th street, new york, ny, 10019 ] - the deed is annexed in NY SUPREME MATTER 153974/2020 in addition to the \$852,029,489.38 which were losses suffered by the investors of the following tickers: [ STFGX--STFBX--SFITX--SFBDX ] annexed here are the loan dockets and the TERMS IN A NON-MATRIMONIAL HEARING WHICH WERE AIDED AND ABETTED TO BY ALL MATERIAL PARTIES ##### ++ CERTAIN OF THOSE HAVE LEFT ME CONSTRAINED AND I WILL PROVIDE YOU WITH ADDITIONAL INFORMATION AS SOON AS I CAN FIND A PLACE TO LIVE ++ [https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH\\_PLUS\\_UpVanEtcRioef3A==##](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH_PLUS_UpVanEtcRioef3A==##) is something I also annexed again, which shows the NOTARIZED docket executed by a certain individual of interest CRD member ++ IN THE SCOPE OF STATE FARM REALTY MORTGAGE LLC HAS BEEN DISCLOSED ONLY BY ONE PERSON. ++ "STATE



**Tips, Complaints, and Referrals**  
Summary Page - Submitted Externally

FARM REALTY MORTGAGE LLC" >> IS A PARENT OF "STATE FARM LIFE INSURANCE COMPANY" "STATE FARM LIFE INSURANCE COMPANY" IS REPORTED BY THEIR CURRENT AND PRESENT "STATE FARM VP MANAGEMENT CORP." [ CRD NUMBER 43036] THIS WAS EMAILED TO MATERIAL PARTIES AGAIN ON NOV 16TH 2021 - WHEREBY MORGAN STANLEY IS ONE OF THE THREE BROKERS WITH A MATERIAL CONFLICT OF INTEREST AS A "PROMOTING" BROKER OF RECORD IN THE 2020-11-30 AND 2021-11-30 ANNUAL AND SEMI-ANNUAL REPORTING PERIODS WITH NO DISCLOSURE IN THE EDGAR FILINGS OF THE LOAN (HENCE UNREGISTERED SECURITY) AND ALSO - THE DIRECTORS WERE NOT COVERED BY THE INDENTURE THAT WAS EXECUTED BY "TERRY LUDWIG" WHO HAS ALSO FAILED TO DISCLOSE THIS AS A "KNOWN OTHER NAME" Direct Owners and Executive Officers Name Position STATE FARM INVESTMENT MANAGEMENT (CRD#: 3487) SHAREHOLDER HARBERT, RANDALL HOUSTON (CRD#:2992788) SR. VICE PRESIDENT AND DIRECTOR HINTZ, SCOTT ALEXANDER (CRD#:2004555) VICE PRESIDENT - FINANCIAL AND SECRETARY LUDWIG, TERRENCE MICHAEL (CRD#:3231040) CHIEF COMPLIANCE OFFICER AND TREASURER, ANTI-MONEY LAUNDERING AND OFFICE OF FOREIGN ASSETS CONTROL COMPLIANCE OFFICER MINEAU, SARAH (CRD#:4634160) VICE PRESIDENT AND DIRECTOR MONK, JOSEPH RILEY JR (CRD#:1357149) SR. VICE PRESIDENT AND DIRECTOR MOORE, DAVID MICHAEL (CRD#:2876793) ASSISTANT SECRETARY & COUNSEL SMITH, PAUL JOSEPH (CRD#:4971235) SR. VICE PRESIDENT AND DIRECTOR TIPSORD, MICHAEL LEON (CRD#:1943922) PRESIDENT AND DIRECTOR ##### /S/ BARIS DINCER. AKA BO DINCER.

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

A: Unknown

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: 852029489

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

A: 08/04/2020

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

A: 06/05/2020

Q: Is the conduct ongoing?



## Tips, Complaints, and Referrals

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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; Broker-dealer records; Conversations; Internal business documents; SEC filings

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

A: Complained to firm; Complained to other regulator; Complained to SEC; Complained to law enforcement; Complained to other; Legal action

Q: Provide details.

A: I emailed the Inspector General and notified all parties in the prior TCR report during the DEREGISTRATION and MERGER on November 13th in 2021 was submitted prior to their MERGER into a larger firm... NOW there is an unregistered security which bears a much larger risk as STATE FARM has assumed a guarantee of any outstanding TAX PAYMENTS in the event of an insolvency by the Sullivan Properties LLP [ which I recently discovered, approximately an additional \$200,000,000.00 in taxes which were avoided by the Zucker Organizations at 101 west 55th street, new york, ny, 10019 ] - the deed is annexed in NY SUPREME MATTER 153974/2020 in addition to the \$852,029,489.38 which were losses suffered by the investors of the following tickers: [ STFGX--STFBX--SFITX--SFBDX ] annexed here are the loan dockets and the TERMS IN A NON-MATRIMONIAL HEARING WHICH WERE AIDED AND ABETTED TO BY ALL MATERIAL PARTIES ##### ++ CERTAIN OF THOSE HAVE LEFT ME CONSTRAINED AND I WILL PROVIDE YOU WITH ADDITIONAL INFORMATION AS SOON AS I CAN FIND A PLACE TO LIVE ++ ##[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH\\_PLUS\\_UpVanEtcRioef3A==###](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH_PLUS_UpVanEtcRioef3A==###) is something I also annexed again, which shows the NOTARIZED docket executed by a certain individual of interest CRD member ++ IN THE SCOPE OF STATE FARM REALTY MORTGAGE LLC HAS BEEN DISCLOSED ONLY BY ONE PERSON. ++ "STATE FARM REALTY MORTGAGE LLC" >> IS A PARENT OF "STATE FARM LIFE INSURANCE COMPANY" "STATE FARM LIFE INSURANCE COMPANY" IS REPORTED BY THEIR CURRENT AND PRESENT "STATE FARM VP MANAGEMENT CORP." [ CRD NUMBER 43036]

Who are you complaining about?

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Subject # 1



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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

Q: Enter the CRD Number.

A: 43036

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: STATE FARM VP MANAGEMENT CORP.

Q: Street Address

A: ONE STATE FARM PLAZA



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Email Address

A: KROCK5@BLOOMBERG.NET

Q: Website

A: WWW.STATEFARM.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 # 2

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

A: Person



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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

A: Executive officer or director

Q: First Name

A: RANDALL

Q: Middle Name

A: HOUSTON

Q: Last Name

A: HARBERT

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Home Phone

A: 800-447-4930

Q: Email Address

A: replacementprogram@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 3

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: STATE FARM VP MANAGEMENT CORP.

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





## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: First Name

A: TERRANCE

Q: Last Name

A: LUDWIG

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Mobile Phone

A: 800-447-4930



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Email Address

A: david.moore.ct95@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 4

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: Fund manager

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

A: STATE FARM VP MANAGEMENT

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: JOSEPH



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Middle Name

A: 1357149

Q: Last Name

A: MONK

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Email Address

A: krock5@bloomberg.net



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Website

A: WWW.STATEFARM.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: Trustee

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

A: STATE FARM LIFE INSURANCE COMPANY

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: PHILIP

Q: Middle Name

A: J.



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Last Name

A: REUTER

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.COM



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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 # 6

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: Underwriter

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: 3487

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Firm Name

A: STATE FARM INVESTMENT MANAGEMENT CORP.

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Work Phone

A: 800-447-4930

Q: Mobile Phone

A: 800-447-4930



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Other Phone

A: 800-447-4930

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 7

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: STATE FARM LIFE INSURANCE CO VARIABLE LIFE SEPARATE ACCOUNT

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





## Tips, Complaints, and Referrals

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Q: First Name

A: PAUL

Q: Last Name

A: SMITH

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: CRD#4971235

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-0740



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Other Phone

A: 309-763-9462

Q: Email Address

A: HR@JONESTRADING.COM

Q: Website

A: WWW.STATEFARM.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 # 8

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

Q: Enter the CRD Number.

A: 3487



## Tips, Complaints, and Referrals

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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: STATE FARM INVESTMENT MANAGEMENT CORP.

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: B-2

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Home Phone

A: 800-447-0740

Q: Work Phone

A: 800-447-0740

Q: Mobile Phone

A: 925-598-3000

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 9

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



## Tips, Complaints, and Referrals

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Q: Identifier Type

A: CIK

Q: CIK

A: 729056

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: STATE FARM INVESTMENT MANAGEMENT CORP /TA

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL



## Tips, Complaints, and Referrals

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Q: Country

A: US

Q: Home Phone

A: 925-598-3000

Q: Work Phone

A: 925-598-3000

Q: Mobile Phone

A: 925-598-3000

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 10

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



## Tips, Complaints, and Referrals

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

A: No

Q: Identifier Type

A: CIK

Q: CIK

A: 93715

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: STATE FARM ASSOCIATES FUNDS TRUSTS

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: E-8

Q: Zip / Postal Code

A: 61710



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-0740

Q: Work Phone

A: 800-447-0740

Q: Other Phone

A: 309-763-9462

Q: Email Address

A: MHARVEY13@BLOOMBERG.NET

Q: Website

A: WWW.STATEFARM.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 # 11





## 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: Executive officer or director

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

A: STATE FARM VP MANAGEMENT CORP.

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: DAVID

Q: Last Name

A: MOORE

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: CRD code 43036 SEC NO: 8-50128



## Tips, Complaints, and Referrals

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Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Work Phone

A: 800-447-4930

Q: Mobile Phone

A: 800-447-4930

Q: Email Address

A: david.moore.ct95@statefarm.com

Q: Website

A: WWW.STATEFARM.COM



## Tips, Complaints, and Referrals

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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 # 12

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

Q: Enter the CRD Number.

A: 43036

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



## Tips, Complaints, and Referrals

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Q: Firm Name

A: STATE FARM VP MANAGEMENT CORP

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Work Phone

A: 800-447-4930



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Mobile Phone

A: 800-447-0740

Q: Other Phone

A: 309-763-9462

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 13

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: CIK



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: CIK

A: 729056

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: STATE FARM INTERIM FUND INC

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: c/o 40-17G -- TERRY LUDWIG

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Country

A: US

Q: Home Phone

A: 800-447-0740

Q: Work Phone

A: 3097350561

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 14

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Identifier Type

A: CIK

Q: CIK

A: 729056

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: STATE FARM GROWTH FUND INC

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O David Moore

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON





## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 925-598-3000

Q: Other Phone

A: 925-737-0147

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: www.statefarm.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 # 15

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: Employee



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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

A: STATE FARM REALTY MORTGAGE

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: MATTHEW

Q: Last Name

A: MELICK

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O STATE FARM LIFE INSURANCE COMPANY [NO. 386]

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 800-447-4930

Q: Email Address

A: nicole.bowyer@statefarm.com

Q: Website

A: WWW.STATEFARM.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 # 16

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Identifier Type

A: CIK

Q: CIK

A: 735063

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: STATE FARM BALANCED FUND INC

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O STATE FARM REALTY MORTGAGE L.L.C

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: State / Province

A: IL

Q: Country

A: US

Q: Website

A: WWW.STATEFARM.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 # 17

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: Unknown

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

A: No

Q: Identifier Type

A: Unknown

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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: STATE FARM REALTY MORTGAGE L.L.C

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O MICHAEL TIPSORD

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Email Address

A: phil.supple.hid9@statefarm.com



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Website

A: WWW.STATEFARM.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 # 18

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: Unknown

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Firm Name

A: STATE FARM LIFE INSURANCE COMPANY

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O DEPT E-8, PHILIP J. REUTER [SS]

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: (888) 702-7307

Q: Work Phone

A: (888) 702-7307





## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Mobile Phone

A: (888) 702-7307

Q: Other Phone

A: (888) 702-7307

Q: Email Address

A: COCKARENS@VOUCHERSRUS.ORG

Q: Website

A: <https://www.sec.gov/Archives/edgar/data/0001027856/000119312522072876/d231690d485bxt.htm>

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 # 19

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: Publicly held company

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

A: No

Q: Identifier Type

A: Ticker Symbol



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Ticker Symbol

A: SFBDX

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: STATE FARM MUNICIPAL BOND FUND INC

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O MSRB # HARBERT, RANDALL HOUSTON

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Country

A: US

Q: Email Address

A: MSRBSupport@msrb.org

Q: Website

A: WWW.STATEFARM.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 # 20

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: Publicly held company

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

A: No

Q: Identifier Type

A: Ticker Symbol

Q: Ticker Symbol

A: SFITX



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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: STATE FARM MUTUAL FUND TRUST

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Address (Continued)

A: C/O STATE FARM LIFE INSURANCE COMPANY

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Home Phone

A: 202-838-1330

Q: Work Phone

A: (888) 702-7307

Q: Email Address

A: MICHAEL.TIPSORD@STATEFARM.COM

Q: Website

A: <https://www.sec.gov/Archives/edgar/data/0001027856/000119312522072876/d231690d485bxt.htm>

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 # 21

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: SULLIVAN PROPERTIES L.P.

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

A: No



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Person's Title

A: Mr

Q: First Name

A: DONALD

Q: Last Name

A: ZUCKER

Q: Street Address

A: 101 WEST 55TH STREET

Q: Zip / Postal Code

A: 10019

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Phone

A: (202) 551-4790



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Email Address

A: IARrules@sec.gov

Q: Website

A: WWW.MANHATTANSKYLINE.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 # 22

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: Executive officer or director

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

A: SULLIVAN GP LLC

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: LAURIE



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Last Name

A: ZUCKER

Q: Street Address

A: 101 WEST 55TH STREET

Q: Zip / Postal Code

A: 10019

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Phone

A: (202) 551-4790

Q: Email Address

A: JPMCinvestorrelations@jpmchase.com

Q: Website

A: <https://www.jpmorgan.com/global>





## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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 # 23

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: Private/Closely Held Company

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

A: No

Q: Identifier Type

A: Unknown

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: Wilson Elser Moskowitz Edelman & Dicker LLP



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Street Address

A: 150 EAST 42ND STREET

Q: Zip / Postal Code

A: 10017

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Phone

A: (212) 490-3000

Q: Email Address

A: RICKI.ROER@WILSONDICKER.COM

Q: Website

A: <https://www.wilsonelser.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 # 24



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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: Attorney

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

A: RICKI ROER

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: RICKI

Q: Last Name

A: ROER

Q: Street Address

A: 150 EAST 42ND STREET

Q: Zip / Postal Code

A: 10017



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Phone

A: (212) 490-3000

Q: Email Address

A: shareholderproposals@sec.gov

Q: Website

A: WWW.WILSONDICKER.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 # 25

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: Attorney



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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

A: Wilson Elser Moskowitz Edelman & Dicker LLP

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: ASHLEY

Q: Last Name

A: HUMPHRIES

Q: Street Address

A: 150 EAST 42ND STREET

Q: Address (Continued)

A: C/O SHARI LASKOWITZ

Q: Zip / Postal Code

A: 10017

Q: City

A: NEW YORK



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Phone

A: (212) 490-3000

Q: Email Address

A: ASHLEY.HUMPHRIES@WILSONELSER.COM

Q: Website

A: WWW.WILSONELSER.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 # 26

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: Attorney

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

A: Ingram Yuzek Gainen Carroll & Bertolotti, LLP



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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: SHARI

Q: Last Name

A: LASKOWITZ

Q: Street Address

A: 150 EAST 42ND STREET

Q: Zip / Postal Code

A: 10018

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Home Phone

A: 718-546-1500

Q: Work Phone

A: 718-546-1500

Q: Mobile Phone

A: 718-546-1500

Q: Other Phone

A: 718-546-1500

Q: Email Address

A: slaskowitz@ingramllp.com

Q: Website

A: WWW.MSKYLINE.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

Which investment products are involved?

---

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

A: Funds (e.g., ETFs, mutual funds, private equity funds, hedge funds)

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





## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

A: Mutual funds

Q: Enter the ticker symbol, if known.

A: SFBDX

Q: Enter the product name(s)

A: State Farm Municipal Bond Fund

### 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: First Name

A: BARIS

Q: Last Name

A: DINCER

Q: Street Address

A: 65 PROSPECT AVENUE

Q: Address (Continued)

A: 28W



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Zip / Postal Code

A: 11557

Q: City

A: HEWLETT

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Telephone

A: 6462563609

Q: Mobile Telephone

A: 6462563609

Q: Email Address

A: BONDSTRT@PROTONMAIL.COM

Q: What is the best way to reach you?

A: Email

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

A: Yes



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Attorney Title

A: Mr

Q: Attorney First Name

A: DANIEL

Q: Attorney Last Name

A: VIOLA

Q: Attorney Firm Name

A: SADIS & GOLDBERG

Q: Attorney Street Address

A: 551 5th Ave

Q: Attorney Address (Continued)

A: 21st floor, New York, NY

Q: Attorney Zip / Postal Code

A: 10176

Q: Attorney City

A: NEW YORK

Q: Attorney State / Province

A: NY



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Attorney Country

A: US

Q: Select the profession that best represents you.

A: Other

Q: For Other, please specify.

A: FILER NAME: BARIS DINCER

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 PROVIDED NOTICE AT ALL RELEVANT TIMES UPON NOTICE, AND THOSE WHO HAVE AIDED AND ABETTED TO THE NON DISCLOSURE OF A FAILURE AND OMISSION TO DISCLOSE AN UNREGISTERED SECURITY (THE LOAN 50074) ANNEXED IN THE NYSCEF MATTER 153974/2020 HAVE CAUSED OVER (852,029,489.38) IN DAMAGES TO THE INVESTORS - NOTWITHSTANDING THE FILING BY MR. DAVID MOORE - david.moore.ct95@statefarm.com - AND THE TCR WHICH I FILED DURING THE MERGER PERIOD WAS ALSO FURTHER OBSTRUCTED BY THE GUIDANCE COUNSELORS AT MY SCHOOL ON NOVEMBER 16TH, 2021 - I NOTIFIED ONE OF THREE "PROMOTING" BROKERS AND ALSO THE SEC OF THE MATERIAL FACTS AGAIN IN NYSCEF MATTER 153974/2021.

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

A: Yes

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

A: SINCE THEREWITH ALSO WITHDREW FROM ANY INVOLVEMENT WITH THE INSTITUTION UNTIL THAT BUILDING IS CLEARED OF ANYONE WHO LACKS THE INTELLIGENCE TO UNDERSTAND THIS: #<https://www.scribd.com/document/386161673/Bo-Dincer-New-York-City-Fixed-Income-Trader-Baris-Dincer-Maritime->



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Capital##[https://en.everybodywiki.com/Maritime\\_Capital\\_Partners\\_LP](https://en.everybodywiki.com/Maritime_Capital_Partners_LP)#####HAS OVERSTEPPED HIS LIMIT AS A COUNSELOR FOR ANY STUDENT, NOTWITHSTANDING MYSELF A STUDENT OF THE LAW### NOT THIS OVERACHIEVED ACTRESS OF MEN AND WOMEN WHO ALSO HAVE AIDED AND ABETTED TO THE LOSSES SUFFERED BY INVESTORS... AND ALSO THE \$400,000.00 SELF-ASSIGNED TO THE DIRECTORS IN THE TRANSFER OF A HIGH-RISK DEBT TO AN EVEN LARGER ENTITY WHILE I WAS TRYING TO WARN THE REGULATORS OF WHAT WAS GOING ON.

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

A: Yes

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

A: MY EMAIL WAS TURNED OFF -- BY A GUIDANCE COUNSELOR AT COLUMBIA UNIVERSITY AND DURING A MATERIAL AND TIME-SENSITIVE PERIOD IN TIME... NOTWITHSTANDING THE ASSISTANCE AND COMMUNICATIONS AS INDEXED IN THE MATTER OF 153974/2020 ---- WHERE IGNORANCE AND A LACK OF INTELLIGENCE/CANDOR/DISRESPECT HAVE CAUSED, IN PART, TO THE AID AND ABETTING OF TAX EVASION AS SEEN IN THE TAX RECORDS I ALSO ANNEXED IN A PUBLIC REPOSITORY - THE NYS TAX RECORDS OF THE SULLIVAN PROPERTIES L.P. SHOW THIS FOR THE LOAN (UNDISCLOSED) WAS NOT COVERED UNDER OMISSIONS BY THE PRINCIPALS - AT ANY POINT IN TIME - WOULD DO ANYTHING TO PREVENT THIS CERTAIN DELUGE AND THE UNDERLYING RISKS ARE NOW CLEAR - IN A FOUR MONTH PERIOD A TOTAL OF (852,029,489.38) IN ACCOUNTABLE LOSSES FOR THE TICKERS... NOTWITHSTANDING A LOSS BY WAY OF TAXES AVOIDED TO BY THE ZUCKER FAMILY AND SULLIVAN PROPERTIES L.P. IN THE NYSCEF MATTER 153974/2020.

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

A: Yes

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

A: <<https://github.com/BSCPGROUPHOLDINGSLLC/ELSER-AND-DICKER/pull/11>> <<https://github.com/users/BSCPGROUPHOLDINGSLLC/projects/1>> <<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=mjjeGZ6gy4aiXQA/zboiwg==>>> <[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=n\\_PLUS\\_CvSQR36fqPKko6L47FFQ==>](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=n_PLUS_CvSQR36fqPKko6L47FFQ==>)> ### would not even use the legal name from the loan annexed in the docket ## <<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=D9Td7IfWXyajw1tBNCfb9g==>>> ### I ANNEXED THE LOAN IN THE NYSCEF MATTER 153974/2020 ### ### NYSCEF DOC. NO. 386 ### ### PAGE 86/123 ### AND ALSO ON AUGUST 4TH, 2020 ##### <[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH\\_PLUS\\_UpVanEtcRioef3A==>](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH_PLUS_UpVanEtcRioef3A==>)>

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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?

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



## Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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: Yes

Q: If the answer to the question is "Yes," please provide details.

A: 1. <<https://reports.adviserinfo.sec.gov/reports/ADV/3487/PDF/3487.pdf>> 2. <<https://www.sec.gov/edgar/browse/?CIK=1027856>> 3. <[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH\\_PLUS\\_UpVanEtcRioef3A==](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=IY8iDH_PLUS_UpVanEtcRioef3A==)> 4. <[https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc\\_PLUS\\_g11P4g==](https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=Xjn0/e1NcBADqRc_PLUS_g11P4g==)> 5. <<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=D9Td7IfWXyajw1tBNCFb9g==>> 6. <<https://iapps.courts.state.ny.us/nyscef/ViewDocument?docIndex=mjjeGZ6gy4aiXQA/zboiwg==>> 7. <[https://www.sec.gov/Archives/edgar/data/0000093715/000114554922006149/xslFormN-CEN\\_X01/primary\\_doc.xml](https://www.sec.gov/Archives/edgar/data/0000093715/000114554922006149/xslFormN-CEN_X01/primary_doc.xml)>

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



# Tips, Complaints, and Referrals

Summary Page - Submitted Externally

## Documents

Document Name	Document Type
[ SFBDX ] [ SFITX ] [ STFBX ] [STFGX ] — CRD DISCLOSURES NONPLUSSED.pdf	application/pdf
BOTARIZED on the 30TH of MARCH, 2022.pdf	application/pdf
firm_3487.pdf	application/pdf
individual_2992788 - HARBERT RANDALL HOUSTON.pdf	application/pdf
Nov 25, 2021 - SERVICE@ETRADE.COM RULE-COMMENTS@SEC.GOV [ PRIOR ].pdf	application/pdf
2020-11-30 FILER 93715 -- DEREGISTRATION 2021.pdf	application/pdf
2021 November 16 (61710 SEC) -- james gorman.pdf	application/pdf
_TCRReport.pdf	application/pdf
153974_2020_Sullivan_Properties_L_P_v_Baris_Dincer - NOTICE TO wmckenzie@nycourts.gov.pdf	application/pdf





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153974_2020_Sullivan_Properties_L_P_v_Baris_Dincer_4 august 2020 --- no certificate of occupancy.pdf	application/pdf
EX205.---- fax.to.IRS.CRIMINAL.INVESTIGATIONS.267-466-1115.c	application/pdf
Yahoo Mail Document_ Re_ ____ TAX evasion LOCKED 6MM 2020.08.08 no Certificate of .PDF	application/pdf
0.EMAIL.TO.LANDLORD.-.REMOVE.THE.CAMERA.ON	application/pdf