

## BrokerCheck Report

### STATE FARM INVESTMENT MANAGEMENT CORP.

CRD# 3487

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**STATE FARM INVESTMENT  
MANAGEMENT CORP.**

CRD# 3487

SEC# 8-13379

**Main Office Location**

ONE STATE FARM PLAZA D-3  
BLOOMINGTON, IL 61710-0001

**Mailing Address**

ONE STATE FARM PLAZA D-3  
BLOOMINGTON, IL 61710-0001

**Business Telephone Number**

309-766-5706

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>

**Report Summary for this Firm**

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

**Firm Profile**

This firm is classified as a corporation.

This firm was formed in Delaware on 12/09/1966.

Its fiscal year ends in November.

**Firm History**

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

**Firm Operations**

This brokerage firm is no longer registered with FINRA or a national securities exchange.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

## Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



**This firm terminated or  
withdrew registration on:** 05/01/2001

**Does this brokerage firm owe  
any money or securities to  
any customer or brokerage  
firm?** No



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 12/09/1966.

Its fiscal year ends in November.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

**STATE FARM INVESTMENT MANAGEMENT CORP.**

**Doing business as STATE FARM INVESTMENT MANAGEMENT CORP.**

**CRD#** 3487

**SEC#** 8-13379

### Main Office Location

ONE STATE FARM PLAZA D-3  
BLOOMINGTON, IL 61710-0001

### Mailing Address

ONE STATE FARM PLAZA D-3  
BLOOMINGTON, IL 61710-0001

### Business Telephone Number

309-766-5706



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	STATE FARM MUTUAL AUTOMOBILE INSURANCE COMPANY
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	OWNER
<b>Position Start Date</b>	09/1995
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CHEVALIER, JEREL SAM 2209892
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	ASSISTANT SECRETARY-TREASURER
<b>Position Start Date</b>	09/1992
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	GRIMES, DAVID ROY 1432710
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	VICE PRESIDENT & SECRETARY
<b>Position Start Date</b>	09/1985

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** GRIZZLE, DAVID RAY  
4084087

**Is this a domestic or foreign entity or an individual?** Individual

**Position** ASSISTANT SECRETARY/TREASURER

**Position Start Date** 03/2001

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** HORTON, STEPHEN LOWELL  
3124493

**Is this a domestic or foreign entity or an individual?** Individual

**Position** ASSISTANT SECRETARY

**Position Start Date** 03/2000

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** JAYNES, DONALD ONEIL

## Firm Profile



### Direct Owners and Executive Officers (continued)

	3124497
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	ASSISTANT SECRETARY
<b>Position Start Date</b>	09/1998
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
<hr/>	
<b>Legal Name &amp; CRD# (if any):</b>	JOSLIN, ROGER SCOTT 262350
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR, VICE PRESIDENT & TREASURER
<b>Position Start Date</b>	12/1966
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
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<b>Legal Name &amp; CRD# (if any):</b>	KILLIAN, JOHN JOSEPH 2614915
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR
<b>Position Start Date</b>	03/1995
<b>Percentage of Ownership</b>	Less than 5%



## Firm Profile



### Direct Owners and Executive Officers (continued)

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** MOORE, DAVID MICHAEL  
2876793

**Is this a domestic or foreign entity or an individual?** Individual

**Position** ASSISTANT SECRETARY

**Position Start Date** 03/2000

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** MOSER, KURT GEORGE  
2065254

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECTOR & SENIOR VICE PRESIDENT

**Position Start Date** 03/1991

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** RUST, EDWARD BARRY JR  
1450795

## Firm Profile



### Direct Owners and Executive Officers (continued)

<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	DIRECTOR AND PRESIDENT
<b>Position Start Date</b>	09/1985
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	THOMAS, HOWARD ANDREW 3150520
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	ASSISTANT SECRETARY-TREASURER
<b>Position Start Date</b>	12/1998
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	TIPSORD, MICHAEL LEON 1943922
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	ASSISTANT SECRETARY
<b>Position Start Date</b>	03/1989
<b>Percentage of Ownership</b>	Less than 5%

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** TROSINO, VINCENT JOSEPH  
1780681

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECTOR

**Position Start Date** 09/1987

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

No information reported.



## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



## Firm Operations



### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is no longer registered.**

**The firm's registration was from 10/24/1967 to 05/31/2001.**



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 3 types of businesses.**

#### Types of Business

Mutual fund underwriter or sponsor

Investment advisory services

Other - PURSUANT TO SEPARATE INVESTMENT ADVISORY AND MANAGEMENT AGREEMENTS, APPLICANT IS THE INVESTMENT ADVISER FOR STATE FARM GROWTH FUND, INC., STATE FARM BALANCED FUND, INC., STATE FARM INTERIM FUND, INC., STATE FARM MUNICIPAL BOND FUND, INC., AND STATE FARM VARIABLE PRODUCT TRUST, ALL OF WHICH ARE REGISTERED INVESTMENT COMPANIES. IN ADDITION, APPLICANT IS THE TRANSFER AGENT AND DIVIDEND DISBURSING AGENT FOR THESE INVESTMENT COMPANIES.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**



## **Firm Operations**

### **Industry Arrangements**



**This firm does not have books or records maintained by a third party.**

**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### **Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**STATE FARM VP MANAGEMENT CORP. is under common control with the firm.**

<b>CRD #:</b>	43036
<b>Business Address:</b>	ONE STATE FARM PLAZA BLOOMINGTON, IL 61710-0001
<b>Effective Date:</b>	11/27/1996
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	No
<b>Description:</b>	STATE FARM INVESTMENT MANAGEMENT CORP. (#003487) AND STATE FARM VP MANAGEMENT CORP. (#043036) ARE BOTH WHOLLY-OWNED SUBSIDIARIES OF STATE FARM MUTUAL AUTOMOBILE INSURANCE COMPANY.

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

## End of Report



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