



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: Conflicts of interest by management

Q: Is this supplemental information to a previous complaint?

A: Yes

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

A: 16514-661-333-652

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



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A: Substantial and gross valuation, 26 U.S. Code § 6663 Imposition of fraud penalty, Obstruction, Omissions, and Failure to Disclose material information to the public prior to and after a merger.

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: 65000000

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

A: 06/05/2020

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

A: 03/07/2020

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; Broker-dealer records; Conversations; Publicly available information; SEC filings

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

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



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Q: Provide details.

A: STATE FARM ASSURANCES FUNDS TRUST HAS CEASED TO EXIST, I have included a PDF with an index table and accompanying documents in one file for convenience.

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

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?



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A: No

Q: Firm Name

A: STATE FARM VP 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: 3097661908

Q: Email Address

A: mutualfunds@statefarm.com

Q: Website

A: www.statefarm.com



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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 # 2

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: unknown

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: RANDALL

Q: Middle Name

A: HOUSTON

Q: Last Name

A: HARBERT



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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: 3097661908

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: Executive officer or director



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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: JOSEPH

Q: Middle Name

A: RILEY

Q: Last Name

A: MONK

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



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Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 3097661908

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: 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



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Q: Person's Title

A: Mr

Q: First Name

A: PAUL

Q: Middle Name

A: JOSEPH

Q: Last Name

A: SMITH

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



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Summary Page - Submitted Externally

Q: Home Phone

A: 3097661908

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: 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: TERRENCE



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Q: Middle Name

A: MICHAEL

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: 3097661908

Q: Website

A: WWW.STATEFARM.COM



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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 # 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: 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: SULLIVAN PROPERTIES LP



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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: Website

A: WWW.MSKYLINE.COM

Subject # 7

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



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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: STATE FARM LIFE INSURANCE COMPANY

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



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Q: Home Phone

A: 3097661908

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: 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



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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 LLC

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: 3097661908

Q: Website

A: WWW.STATEFARM.COM



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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 # 9

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: 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

Q: Last Name

A: REUTER

Q: Street Address

A: ONE STATE FARM PLAZA



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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: 3097661908

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: Person

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

A: Executive officer or director



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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: MATTHEW

Q: Middle Name

A: D.

Q: Last Name

A: MELICK

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



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Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 3097661908

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

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



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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: MANHATTAN SKYLINE MANAGEMENT CORP.

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: Website

A: WWW.MSKYLINE.COM



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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: 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: SULLIVAN GP LLC



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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: Email Address

A: ADMINISTRATION@MSKYLINE.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

Subject # 13

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

A: Person



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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 PROPERTIES LP

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

A: No

Q: Person's Title

A: Mrs

Q: First Name

A: LAURIE

Q: Last Name

A: ZUCKER

Q: Street Address

A: 101 WEST 55TH STREET

Q: Zip / Postal Code

A: 10019

Q: City

A: NEW YORK



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Q: State / Province

A: NY

Q: Country

A: US

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

Subject # 14

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: Mr



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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: 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

Subject # 15



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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

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



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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: 3097661908

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: Person

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

A: Broker



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

A: STATE FARM INVESTMENT 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: MICHAEL

Q: Middle Name

A: LEON

Q: Last Name

A: TIPSORD

Q: Street Address

A: ONE STATE FARM PLAZA

Q: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



Tips, Complaints, and Referrals

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Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 3097661908

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: 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 INVESTMENT MANAGEMENT

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

A: No



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Q: Person's Title

A: Mr

Q: First Name

A: DAVID

Q: Middle Name

A: MICHAEL

Q: Last Name

A: MOORE

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



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Q: Home Phone

A: 3097661908

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: Private fund company (including hedge fund, private equity fund, venture capital fund or real estate fund)

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



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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 AUTOMOBILE INSURANCE COMPANY

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: 3097661908

Q: Website

A: WWW.STATEFARM.COM



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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 # 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: Mutual fund

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: STFGX

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



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Q: Firm Name

A: STATE FARM GROWTH FUND INC

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: 3097661908

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



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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: Mutual fund

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: STFBX

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



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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: 3097661908

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 # 21

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: Mutual fund



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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: Ticker Symbol

Q: Ticker Symbol

A: SFITX

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: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON



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Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 3097661908

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 # 22

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: Mutual fund

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



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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: Zip / Postal Code

A: 61710

Q: City

A: BLOOMINGTON

Q: State / Province

A: IL

Q: Country

A: US



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Q: Home Phone

A: 3097661908

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 # 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: Municipal Securities Dealer

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: NTRS

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: NORTHERN TRUST SECURITIES, INC

Q: Street Address

A: 50 S. 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

Q: Website

A: <https://www.northerntrust.com/united-states/home>



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 # 24

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: NORTHERN TRUST SECURITIES

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: Steven

Q: Last Name

A: Santiccioli

Q: Street Address

A: 50 S. LaSalle Street



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Zip / Postal Code

A: 60603

Q: City

A: CHICAGO

Q: State / Province

A: IL

Q: Country

A: US

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 # 25

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: Insurance company

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: 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: CRYSTAL IBC LLC

Q: Street Address

A: 32 OLD SLIP

Q: Address (Continued)

A: 29TH FLOOR

Q: Zip / Postal Code

A: 10005

Q: City

A: NEW YORK

Q: State / Province

A: NY



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Country

A: US

Q: Website

A: <https://www.sec.gov/Archives/edgar/data/0001516523/000119312522025502/d207567d4017g.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 # 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: Broker

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

A: Matthew Flynn

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



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Last Name

A: Flynn

Q: Street Address

A: 32 OLD SLIP

Q: Address (Continued)

A: 29TH FLOOR

Q: Zip / Postal Code

A: 10005

Q: City

A: NEW YORK

Q: State / Province

A: NY

Q: Country

A: US

Q: Email Address

A: ssampiere@alliant.com

Q: Website

A: WWW.ALLIANT.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 # 27

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

Q: CIK

A: 1516523

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: ADVISERS INVESTMENT TRUST

Q: Street Address

A: 50 S. LaSalle Street

Q: Zip / Postal Code

A: 60603

Q: City

A: CHICAGO

Q: State / Province

A: IL

Q: Country

A: US

Q: Home Phone

A: 312-557-4100

Q: Work Phone

A: 312-557-4100

Q: Mobile Phone

A: 312-557-4100



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Email Address

A: Tracy.Dotolo@STATEFARM.COM

Q: Website

A: <https://www.statefarm.com/finances/mutual-funds/resources/associate-funds-prospectus>

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 # 28

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: 148477

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: FORESIDE FINANCIAL SERVICES, LLC

Q: Street Address

A: 148477

Q: Address (Continued)

A: 3 Canal Plaza, Suite 100

Q: Zip / Postal Code

A: 04101

Q: City

A: PORTLAND

Q: State / Province

A: ME

Q: Country

A: US

Q: Home Phone

A: 866-251-6920



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Work Phone

A: 866-251-6920

Q: Mobile Phone

A: 866-251-6920

Q: Other Phone

A: 866-251-6920

Q: Email Address

A: BUSDEV@FORESIDE.COM

Q: Website

A: <https://www.foreside.com/bcp/>

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 # 29

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: Bank

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: 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: 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: 3097661908

Q: Work Phone

A: 3097661908

Q: Mobile Phone

A: 3097661908

Q: Other Phone

A: 3097661908

Q: Email Address

A: david.moore.ct95@statefarm.com

Q: Website

A: <https://www.statefarm.com/finances/mutual-funds/resources/associate-funds-prospectus>

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.



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

A: Other

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

A: Partnership investments

Q: Enter the ticker symbol, if known.

A: 50074

Q: Enter the product name(s)

A: NYSCEF 153974/2020

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



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Street Address

A: 65 prospect avenue

Q: Address (Continued)

A: #28W

Q: Zip / Postal Code

A: 11557

Q: City

A: HEWLETT

Q: State / Province

A: NY

Q: Country

A: US

Q: Home Telephone

A: 9173783467

Q: Work Telephone

A: 9173783467

Q: Mobile Telephone

A: 6462563609



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

Q: Other Telephone

A: 6462563609

Q: Email Address

A: PINKBOOKSWAP@YAHOO.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: No

Q: Select the profession that best represents you.

A: Other

Q: For Other, please specify.

A: RESPONDENT IN NYSCEF MATTER 153974/2020

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 EMAILED BRIEF DETAILS TO THE OMBUDSMAN AT FINRA, WHO RESPONDED TO ME AND LEFT A MESSAGE WITH ME, MR. CHRISTOPHER COOK, ASSOCIATE DIRECTOR, 9509 KEY WEST AVENUE, ROCKVILLE, MD, 20850.



Tips, Complaints, and Referrals

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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: Yes

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

A: AS REFERENCED IN THE DOCUMENTS I HAVE PROVIDED, THE COUNSELORS AND REPRESENTATIVE OF SULLIVAN PROPERTIES LP, IN DOCKET 399 IN NYSCEF MATTER 153974/2020 DIRECTED ME TO AN INCORRECT ENTITY THAT I AM UNFAMILIAR WITH, REQUESTING THAT I "NOT CONTACT STATE FARM". I IGNORED THE ATTEMPTED OBSTRUCTION - PLEASE SEE ALSO THE ATTACHED INDEX FOR GUIDANCE AS I HAD TO SPLIT THE DOCUMENT DUE TO THE 25MB FILE SIZE CAPACITY. I ALSO INCLUDED THE MORE RECENT EMAILS WHICH ARE PREFIXED WITH "RE_" TO HELP YOU. .

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: I DON'T HAVE ANY CONCERN IDENTIFYING MYSELF, AS THE REPRESENTATIVES OF STATE FARM, AND SULLIVAN PROPERTIES LP HAVE PHOTOGRAPHED, VIDEOTAPED, AND HOSTED VIDEOS OF MYSELF AND THE " INTERIOR OF MY APARTMENT ", NOTWITHSTANDING THEIR COURTYARDS AND PUBLIC AREAS AND WITHOUT MY CONSENT. HENCE, WITH REFERENCE TO "IDENTIFYING INFORMATION" - THE REFERENCED FIRMS AND INDIVIDUALS IN THIS MATTER HAVE INFORMATION ABOUT MYSELF WHICH IS ALSO PRIVATE, HAS BEEN TAMPERED WITH AND ALSO HAS BEEN HOSTED ON THE INTERNET - AS EVIDENCED IN THE LINKS TO THE LEGAL MATTERS WHICH ARE ALSO "UNDISCLOSED" BY ALL PARTIES REFERENCED HEREIN.

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

A: Yes



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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

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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



Tips, Complaints, and Referrals

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Documents

Document Name	Document Type
document index.pdf	application/pdf
Pages from 2020_05_27 - INDEX and PAPERS [1 - 52].pdf	application/pdf
Pages from 2020_05_27 - INDEX and PAPERS [53 - 152].pdf	application/pdf
Pages from 2020_05_27 - INDEX and PAPERS [153 - 251].pdf	application/pdf
Pages from 2020_05_27 - INDEX and PAPERS [252 - 268].pdf	application/pdf
RE_ Guaranteed Prosecution..PDF	application/pdf
RE_ [MSCO in the BCC] UNDISCLOSED LEGAL MATTER AND UNLAWFUL CUSTODY.PDF	application/pdf
RE_ GROSS UNDERVALUATION OF PROPERTY AND TAX FRAUD.PDF	application/pdf