



IAPD Report

Harvey William Dash

CRD# 1339522

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Harvey William Dash (CRD# 1339522)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	04/03/2024
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	04/04/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	3487	Woodbury, NJ	10/31/2023 - 11/21/2023
B	STATE FARM VP MANAGEMENT CORP.	43036	Cinnaminson Twp, NJ	07/06/2023 - 11/21/2023
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	CHALFONT, PA	06/08/2018 - 10/07/2020

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STATE FARM INVESTMENT MANAGEMENT CORP.**
Main Address: ONE STATE FARM PLAZA
B-2
BLOOMINGTON, IL 61710-0001
Firm ID#: 3487

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	04/04/2024

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
1001 N Broad St
Woodbury, NJ 08096

STATE FARM INVESTMENT MANAGEMENT CORP.
2010 New Albany Road
Cinnaminson Twp, NJ 08077-3535

Employment 2 of 2

Firm Name: **STATE FARM VP MANAGEMENT CORP.**
Main Address: ONE STATE FARM PLAZA
BLOOMINGTON, IL 61710-0001
Firm ID#: 43036

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	04/03/2024
B New Jersey	Agent	Approved	04/04/2024

Branch Office Locations

2010 New Albany Road
Cinnaminson Twp, NJ 08077-3535

1001 N Broad St
Woodbury, NJ 08096-3535



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	07/06/2023
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	07/06/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/14/1998
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/16/1986

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/04/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	06/04/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/31/2023 - 11/21/2023	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	Woodbury, NJ
B	07/06/2023 - 11/21/2023	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	Cinnaminson Twp, NJ
IA	06/08/2018 - 10/07/2020	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	CHALFONT, PA
B	05/24/2018 - 10/07/2020	PRUCO SECURITIES, LLC.	CRD# 5685	CHALFONT, PA
B	06/29/2015 - 11/03/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	Doylestown, PA
IA	06/26/2015 - 11/03/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	Doylestown, PA
IA	06/18/2013 - 07/14/2015	INVESTMENT PROFESSIONALS, INC.	CRD# 30184	WYOMISSING, PA
B	07/14/2009 - 07/14/2015	INVESTMENT PROFESSIONALS, INC.	CRD# 30184	WYOMISSING, PA
IA	07/15/2009 - 06/17/2013	INVESTMENT PROFESSIONALS, INC.	CRD# 30184	WYOMISSING, PA
B	01/14/2008 - 07/09/2009	INVEST FINANCIAL CORPORATION	CRD# 12984	PHILADELPHIA, PA
IA	01/14/2008 - 07/09/2009	INVEST FINANCIAL CORPORATION	CRD# 12984	PHILADELPHIA, PA
B	04/10/2006 - 01/15/2008	COMMERCE CAPITAL MARKETS, INC.	CRD# 6940	BENSALEM, PA
IA	04/10/2006 - 01/15/2008	COMMERCE CAPITAL MARKETS, INC.	CRD# 6940	BENSALEM, PA
B	10/20/2004 - 04/11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MORRISVILLE, PA
IA	10/20/2004 - 04/11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MORRISVILLE, PA
IA	09/20/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	MORRISVILLE, PA



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/25/2001 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	10/21/1998 - 04/25/2001	SUMMIT FINANCIAL SERVICES GROUP, INC.	CRD# 7246	BETHLEHEM, PA
B	09/23/1996 - 10/21/1998	FISERV INVESTOR SERVICES, INC.	CRD# 34637	HOUSTON, TX
B	12/07/1995 - 08/22/1996	MDS SECURITIES INCORPORATED	CRD# 29367	CARMEL, IN
B	02/25/1994 - 11/27/1995	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	02/25/1994 - 11/27/1995	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	04/22/1992 - 02/10/1994	SUN INVESTMENT SERVICES COMPANY	CRD# 5496	WELLESLEY HILLS, MA
B	05/19/1986 - 05/05/1992	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2024 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Cinnaminson Twp, NJ, United States
04/2024 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Woodbury, NJ, United States
04/2024 - Present	State Farm VP Management Corp	Registered Representative	Y	Cinnaminson Twp, NJ, United States
04/2024 - Present	State Farm VP Mangement Corp	Registered Representative	Y	Woodbury, NJ, United States
05/2023 - Present	Kevin Coan Insurance Agency	Employee	Y	Woodbury, NJ, United States
05/2023 - Present	Kevin Coan Insurance Agency	Employee	Y	Cinnaminson Twp, NJ, United States
07/2023 - 11/2023	State Farm Investment Management Corp	Investment Adviser Representative	Y	Cinnaminson Twp, NJ, United States
07/2023 - 11/2023	State Farm Investment Management Corp	Investment Adviser Representative	Y	Woodbury, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2023 - 11/2023	State Farm VP Management Corp	Registered Representative	Y	Woodbury, NJ, United States
06/2023 - 11/2023	State Farm VP Management Corp	Registered representative	Y	Cinnaminson Twp, NJ, United States
03/2021 - 05/2023	Harvey Dash Insurance Agency	Owner/Operator	N	Mount Laurel, NJ, United States
11/2020 - 02/2021	Unemployed	Unemployed	N	Mount Laurel, NJ, United States
05/2018 - 10/2020	PRUCO SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	CHALFONT, PA, United States
05/2018 - 10/2020	PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	N	CHALFONT, PA, United States
11/2017 - 05/2018	UNEMPLOYED	UNEMPLOYED	N	STOCKTON, NJ, United States
06/2015 - 10/2017	NATIONAL PLANNING CORPORATION	INDEPENDENT CONTRACTOR	Y	DOYLESTOWN, PA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1) Kevin Coan's Insurance Agency; Investment-related; 1001 N. Broad St Woodbury, NJ, USA, 08096; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Agent employee; Agent Team Member; 05/09/2023; 80; 80; Service customers
- 2) Kevin Coan's Insurance Agency; Investment-related; 2010 New Albany Road Cinnaminson Twp, NJ, USA, 08077-3535; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Agent employee; Agent Team Member; 05/09/2023; 80; 80; Service customers



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Investment Professionals, Inc
Allegations:	Client is questioning the suitability of the exchange 2 years after event.
Product Type:	Annuity-Variable
Alleged Damages:	\$8,400.00
Alleged Damages Amount Explanation (if amount not exact):	If the claim had merit then the surrender charge would have exceeded \$5000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/22/2016
Complaint Pending?	No
Status:	Denied
Status Date:	11/09/2016
Settlement Amount:	



Individual Contribution

Amount:

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Investment Professionals, Inc.

Allegations: Client is questioning that suitability of the exchange 2 years after the event.

Product Type: Annuity-Variable

Alleged Damages: \$8,400.00

Alleged Damages Amount Explanation (if amount not exact): If the claim had merit then the surrender would have exceed \$5000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/22/2016

Complaint Pending? No

Status: Denied

Status Date: 11/09/2016

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVEST FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES THAT REPRESENTATIVE TOLD HIM THAT INVESTMENT WAS ONLY FOR ONE YEAR. CLAIMS THAT REPRESENTATIVE GUARANTEED 7% FOR ONE YEAR INVESTMENT.

Product Type: Annuity-Variable

Alleged Damages: \$11,940.00

Customer Complaint Information

Date Complaint Received: 09/30/2008

Complaint Pending? No

Status: Denied

Status Date: 11/05/2008



Settlement Amount:

Individual Contribution Amount:

Broker Statement

I HAD SEVERAL MEETINGS WITH BOTH [OTHER FAMILY MEMBER] AND [CUSTOMER] PRESENT. WENT OVER IN GREAT DETAIL THAT NATIONWIDE HAD A FOUR YEAR SURRENDER PERIOD.

Disclosure 3 of 4

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations:

CLIENT'S ATTORNEY ALLEGES THAT FA HARVEY WILLIAM DASH DID NOT DISCLOSE TO THE CLIENT THAT HER INVESTMENT IN THIS ANNUITY COULD LOSE VALUE. AS A RESULT, CLIENT WOULD LIKE TO LIQUIDATE THE ANNUITY, BUT WILL INCUR SURRENDER CHARGES OF \$7,000-\$8,000. PLUS THERE IS A LOSS OF \$2,802.55 OF PRINCIPAL IN THE ANNUITY DUE TO "ADMINISTRATIVE CHARGES" AND "CHARGES FOR THE LIFE INSURANCE COMPONENT."

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$8,000.00

Customer Complaint Information

Date Complaint Received:

08/15/2006

Complaint Pending?

No

Status:

Denied

Status Date:

09/19/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

BANK OF AMERICA INVESTMENT SERVICES, INC.

Allegations:

CLIENT'S ATTORNEY ALLEGES THAT FA HARVEY WILLIAM DASH DID NOT DISCLOSE TO THE CLIENT THAT HER INVESTMENT IN THIS ANNUITY COULD LOSE VALUE. AS A RESULT, CLIENT WOULD LIKE TO LIQUIDATE THE ANNUITY, BUT WILL INCUR SURRENDER CHARGES OF \$7,000 TO \$8,000. PLUS THERE IS A LOSS OF \$2805.55 OF PRINCIPAL IN THE ANNUITY DUE TO "ADMINISTRATIVE CHARGES" AND "CHARGES FOR THE LIFE INSURANCE COMPONENT."

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$8,000.00

Customer Complaint Information

Date Complaint Received:

08/15/2006



Complaint Pending? No
Status: Denied
Status Date: 09/19/2006

Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: QUICK & REILLY, INC.

Allegations: [CUSTOMER] COMPLAINED THAT THE AIG VARIABLE ANNUITY SOLD TO THE CUSTOMER ON 2/17/2001 BY BROKER HARVEY DASH SUSTAINED SIGNIFICANT LOSSES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$15,116.39

Customer Complaint Information

Date Complaint Received: 01/30/2003
Complaint Pending? No
Status: Denied
Status Date: 03/06/2003

Settlement Amount:
Individual Contribution Amount:



End of Report

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