



IAPD Report

John Robert Mcaulay

CRD# 2698671

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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

John Robert Mcaulay (CRD# 2698671)

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	11/05/2002
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	07/29/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	PICAYUNE, MS	12/18/2006 - 12/31/2008
IA	STATE FARM INVESTMENT MANAGEMENT	3487	MONTGOMERY, AL	08/03/2005 - 07/19/2006
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL	05/25/2001 - 08/27/2002

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	1
Judgment/Lien	1



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 2 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	Louisiana	Investment Adviser Representative	Approved	02/13/2025
IA	Mississippi	Investment Adviser Representative	Approved	07/29/2019

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
1817 Highway 11 N
Picayune, MS 39466

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	11/05/2002
B	Louisiana	Agent	Approved	02/13/2025
B	Mississippi	Agent	Approved	11/13/2002

Branch Office Locations

1817 HWY 11 N



Qualifications

PICAYUNE, MS 39466




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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/19/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/01/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/02/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/02/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	12/18/2006 - 12/31/2008	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	PICAYUNE, MS
IA	08/03/2005 - 07/19/2006	STATE FARM INVESTMENT MANAGEMENT	CRD# 3487	MONTGOMERY, AL
B	05/25/2001 - 08/27/2002	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	01/06/1999 - 05/31/2001	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	02/05/1996 - 02/17/1999	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
07/2019 - Present	State Farm Investment Management Corp.	Investment Adviser Representative	Y	Picayune, MS, United States
12/2006 - Present	JOHN MCCAULAY INSURANCE AGENCY	OWNER/OPERATOR	Y	PICAYUNE, MS, United States
12/2006 - Present	STATE FARM VP MANAGEMENT CORP	REGISTERED REPRESENTATIVE	Y	PICAYUNE, MS, 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. John McAulay's Insurance Agency; Insurance Agency; Investment-related; 1817 Highway 11 N Picayune, MS 39466-2033; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Owner; Agent; 12/01/2006; 80; 80; Service customers and supervise employees



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	1
Judgment/Lien	1

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE CLIENT STATES IN JULY AND AUGUST OF 2000 SHE INSTRUCTED MCAULEY TO INVEST HER FUNDS INTO AN ANNUITY AND SET UP DOLLAR COST AVERAGING. THE CLIENT STATES SHE LEFT THE COUNTRY FO NINE MONTHS AND UPON HER RETURN DISCOVERED MCAULEY HAD INVESTED HER FUNDS INTO THE ANNUITY BUT HAD NOT SET UP DCA. IN ADDITION. THE CLIENT STATES THE FUND BUCKETS WITHIN THE ANNUITY ARE GROWTH FUNDS AND SHE SHOULD BE INVESTED IN GROWTH AND INCOME. THE ANNUITY IS DOWN IN VALUE APPROXIMATELY \$6,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,000.00

Customer Complaint Information

Date Complaint Received: 08/23/2001

Complaint Pending? No

Status: Denied

Status Date: 08/23/2001

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

IN AUGUST 2000 THE CLIENT OPENED AN INDIVIDUAL ACCOUNT AND A SELF-DIRECTED IRA ACCOUNT. THE ANNUITY WAS PURCHASED IN THE INDIVIDUAL ACCOUNT AND RETIREMENT FUNDS WERE ROLLED-OVER INTO THE IRA. MCAULEY STATES SINCE THE CLIENT HAD BEEN DOLLAR COST AVERAGING (DCA) INTO AMERICAN FUNDS IN HER IRA ACCOUNTS HE RECOMMENDED SHE CONTINUE THIS PRACTICE. MCAULEY STATES HE DID NOT RECALL ANY CONVERSATION PERTAINING TO INVESTMENTS IN THE ANNUITY AND STATES IT WOULD HAVE BEEN SIMPLE TO CHECK A DCA BOX ON THE ANNUITY APPLICATION TO SET UP THE PROCESS. SINCE MCAULEY STATES THE CLIENT DID NOT DISCUSS ESTABLISHING DCA INTO THE ANNUITY THE PROCESS WAS NOT SET-UP. CLAIM DENIED.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT STATES IN JULY AND AUGUST 2000 SHE INSTRUCTED MCAULEY TO INVEST HER FUNDS INTO AN ANNUITY AND SET UP DOLLAR COST AVERAGING. THE CLIENT STATES SHE LEFT THE COUNTRY FOR NINE MONTHS AND UPON HER RETURN DISCOVERED MCAULEY HAD INVERTED HER FUNDS INTO THE ANNUITY BUT HAD NOT SET UP DCA. IN ADDITION, THE CLIENT STATES THE FUND BUCKETS WITHIN THE ANNUITY ARE GROWTH FUNDS AND SHE SHOULD BE INVESTED IN GROWTH AND INCOME. THE ANNUITY IS DOWN IN VALUE APPROXIMATELY \$6,000.00.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$6,000.00

Customer Complaint Information**Date Complaint Received:** 08/23/2001**Complaint Pending?** No**Status:** Denied**Status Date:** 08/23/2001**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE FIRM DETERMINED THE CLIENT'S ALLEGATIONS WERE UNFOUNDED. IT WAS DETERMINED THAT RR MCAULEY ACTED IN A PROPER MANNER. CLAIM DENIED IN FULL.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of Mississippi
Judgment/Lien Amount:	\$542.47
Judgment/Lien Type:	Tax
Date Filed with Court:	02/20/2018
Date Individual Learned:	03/05/2018
Type of Court:	State Court
Name of Court:	State of Mississippi
Location of Court:	Mississippi Dept of Revenue
Docket/Case #:	924556
Judgment/Lien Outstanding?	Yes
Broker Statement	I have sent a check for entire amount and waiting for the posting of check and the 15 day waiting period to receive the "satisfied" status.



End of Report

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