IAPD Report

Joshua Ryan Post

CRD# 4044112

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

Joshua Ryan Post (CRD# 4044112)

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 **12/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	10/19/2022
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	11/06/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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
B	STATE FARM VP MANAGEMENT CORP.	43036	VERO BEACH, FL	04/27/2010 - 08/16/2012
B	STATE FARM VP MANAGEMENT CORP.	43036	MELBOURNE, FL	03/31/2004 - 07/31/2009
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	12/09/1999 - 03/01/2001

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
Termination	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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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	10/19/2022
B	Alabama	Agent	Approved	03/25/2025
B	Florida	Agent	Approved	10/20/2022
B	Georgia	Agent	Approved	11/24/2025

Branch Office Locations

366 N Babcock St
Ste 102
Melbourne, FL 32935-7330

Vero Beach, FL

Employment 2 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	Alabama	Investment Adviser Representative	Approved	03/25/2025
IA	Florida	Investment Adviser Representative	Approved	11/06/2022
IA	Georgia	Investment Adviser Representative	Approved	03/25/2025

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
366 N Babcock St
Ste 102
Melbourne, FL 32935-7330

STATE FARM INVESTMENT MANAGEMENT CORP.
Vero Beach, FL

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, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	10/18/2022
B	Securities Industry Essentials Examination (SIE)	SIE	04/15/2022
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/30/2004
B	General Securities Representative Examination (S7)	Series 7	12/08/1999

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/21/2025
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/23/2022
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/30/1999

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	04/27/2010 - 08/16/2012	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	VERO BEACH, FL
B	03/31/2004 - 07/31/2009	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	MELBOURNE, FL
B	12/09/1999 - 03/01/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
05/2023 - Present	JOSH POST INSURANCE AGENCY	OWNER/OPERATOR	Y	Melbourne, FL, United States
05/2023 - Present	STATE FARM VP MANAGMENT CORP	REGISTERED REPRESENTATIVE	Y	Melbourne, FL, United States
05/2023 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Melbourne, FL, United States
10/2022 - 05/2023	STATE FARM VP MANAGMENT CORP	REGISTERED REPRESENTATIVE	Y	Vero Beach, FL, United States
10/2022 - 05/2023	State Farm Insurance	Agent Intern	Y	Vero Beach, FL, United States
10/2022 - 05/2023	State Farm Investment Management Corp	Investment Adviser Representative	Y	Vero Beach, FL, United States
01/2019 - 10/2022	State Farm Insurance	Agency Field Specialist	Y	Vero Beach, FL, United States
08/2012 - 01/2019	School District of Indian River County	Teacher	N	Vero Beach, FL, United States
06/2011 - 04/2017	Carrabbas Italian Grill	Server	N	Vero Beach, FL, 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) Josh Post's Insurance Agency; Investment-related; Address of Agent's office; Insurance (State Farm Mutual Automobile

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Insurance Company and its affiliates); Owner; Agent; 05/01/2023; 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
Termination	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:	Regulator
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH PIERCE FENNER & SMITH, INC.
Allegations:	CLAIMANT ALLEGED THAT RESPONDENTS BREACHED THEIR CONTRACT AND WERE NEGLIGENT IN THE HANDLING OF HER MUTUAL FUND ACCOUNT. CLAIMANT ADDITIONALLY ALLEGED THAT RESPONDENTS RECOMMENDED UNSUITABLE STOCKS, MISREPRESENTED THE AMOUNT OF MONIES LOST IN HER ACCOUNT, AND OMITTED FACTS REGARDING HER LOSSES. CLAIMANT FURTHER ALLEGES THAT RESPONDENT MERRILL LYNCH PIERCE FENNER & SMITH, INC. FAILED TO SUPERVISE THEIR REPRESENTATIVE, RESPONDENT POST. CLAIMANT MAINTAINED THAT DUE TO RESPONDENTS' ACTION, HER ACCOUNT SUFFERED FINANCIAL LOSSES.
Product Type:	Mutual Fund(s)
Other Product Type(s):	STOCKS
Alleged Damages:	$8,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-06642
Date Notice/Process Served:	11/04/2002
Arbitration Pending?	No

Disposition:	Award
Disposition Date:	01/02/2004
Disposition Detail:	RESPONDENT IS LIABLE FOR AND SHALL PAY CLAIMANT $500.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER AND SMITH
Allegations:	CUSTOMER ALLEGES FA MADE UNSUITABLE RECOMMENDATIONS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	04/16/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/16/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DISPUTE RESOLUTION CASE NO. 02-06642
Date Notice/Process Served:	04/16/2003
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/14/2004
Monetary Compensation Amount:	$2,500.00
Individual Contribution Amount:	$500.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	[CUSTOMER] CAME TO THE MERRITT ISLAND MERRILL LYNCH OFFICE IN AUGUST OF 2000. SHE HAD JUST RECEIVED APPROXIMATELY $40,000 FROM LITIGATION. SHE WANTED TO PURCHASE MUTUAL FUNDS AND SAVE FOR RETIREMENT. SHE WAS VERY CONCERNED ABOUT TAXES ON THE INVESTMENT. WE DECIDED ON MERRILL LYNCH'S MUTUAL FUND ADVISOR (MFA) ACCOUNT. IN ADDITION, SHE OPENED A HARTFORD ANNUITY TO SAVE FOR RETIREMENT AND TO SAVE ON A TAX DEFERRED BASIS. I HAD

	LEFT MERRILL LYNCH ON 2/1/02 AND [CUSTOMER] SOLD HER MUTUAL FUNDS AND ANNUITY (GENERATING A SALES CHARGE OF 7%). THE BROKER AT MERRILL LYNCH, [BROKER], TRIED TO EXPLAIN THAT SHE WILL HAVE A 7% SURRENDER CHARGE. THE BROKERS AT LEGG MASON TOLD HER TO SELL IT ANY WAY AND TO BRING ONLY CASH.
Product Type:	Mutual Fund(s)
Other Product Type(s):	ANNUITY
Alleged Damages:	$9,000.00

Customer Complaint Information

Date Complaint Received:	04/15/2003
Complaint Pending?	No
Status:	Arbitration/Reparation Settled
Status Date:	01/02/2004
Settlement Amount:	$2,500.00
Individual Contribution Amount:	$500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 02-06642
Date Notice/Process Served:	12/16/2003
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/02/2004
Monetary Compensation Amount:	$2,500.00
Individual Contribution Amount:	$500.00

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MERRILL LYNCH PIERCE FENNER & SMITH
Termination Type:	Discharged
Termination Date:	02/01/2001
Allegations:	DISCRETION IN 3 ACCOUNTS
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	I INFORMED MERRILL LYNCH THAT I HAD VERBAL AUTHORIZATION TO BUY/SELL SECURITIES IN THE 3 ACCOUNTS, BUT NOT WRITTEN AUTHORIZATION. I WAS THEN TERMINATED.

End of Report

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