IAPD Report

SCOTT DAVIS JOHNSON

CRD# 4772003

Section Title	Page(s)

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

SCOTT DAVIS JOHNSON (CRD# 4772003)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	05/21/2021
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	07/27/2021

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
B	STATE FARM VP MANAGEMENT CORP.	43036	SHREVEPORT, LA	12/15/2008 - 10/24/2019
B	NWT FINANCIAL GROUP, LLC	140145	BATON ROUGE, LA	06/05/2007 - 10/20/2008
B	ELECTRONIC ACCESS DIRECT, INC.	36975	BATON ROUGE, LA	10/29/2004 - 05/25/2007

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
Regulatory Event	2
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 **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	Louisiana	Investment Adviser Representative	Approved	07/27/2021

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
4981 Bluebonnet Blvd
Baton Rouge, LA 70809

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	05/21/2021
B	Louisiana	Agent	Approved	05/25/2021

Branch Office Locations

4981 Bluebonnet Blvd
Baton Rouge, LA 70809

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	02/02/2007
B	General Securities Principal Examination (S24)	Series 24	11/21/2006

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/08/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/21/2005

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	12/15/2008 - 10/24/2019	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	SHREVEPORT, LA
B	06/05/2007 - 10/20/2008	NWT FINANCIAL GROUP, LLC	CRD# 140145	BATON ROUGE, LA
B	10/29/2004 - 05/25/2007	ELECTRONIC ACCESS DIRECT, INC.	CRD# 36975	BATON ROUGE, LA
B	07/09/2004 - 10/04/2004	SUNSTATE EQUITY TRADING	CRD# 43571	TAMPA, FL

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
05/2021 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Baton Rouge, LA, United States
03/2021 - Present	STATE FARM VP MANAGEMENT CORP.	Registered Representative	Y	Baton Rouge, LA, United States
01/2013 - Present	SCOTT JOHNSON INSURANCE AGENCY	OWNER/OPERATOR	Y	BATON ROUGE, LA, 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) Scott D Johnson's Insurance Agency; Investment-related; Address of Agent's office; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Owner; Agent; 01/01/2013; 80; 80; Service customers and supervise employees

2) Parkview Baptist Middle School; non-investment-related; 5750 Parkview Church Rd Baton Rouge LA 70816; Education; Employee; None; 11/06/2023; 25; 0; Assistant 8th Grade Boys Basketball Coach

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
Regulatory Event	2
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	Louisiana Department of Insurance
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	10/05/2025
Docket/Case Number:	n/a
Employing firm when activity occurred which led to the regulatory action:	State Farm
Product Type:	Insurance
Allegations:	Consent agreement to pay $500 fine for multi-line homeowner insurance discount concerns on applications for giving customer a discount that didn't apply.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/05/2025

Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$500.00
Portion Levied against individual:	$0.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/14/2025
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/04/2011
Docket/Case Number:	2009018077101
Employing firm when activity occurred which led to the regulatory action:	NWT FINANCIAL GROUP,LLC/GREENWING SECURITIES, INC.
Product Type:	Other: HEDGE FUNDS
Allegations:	NASD RULE 2110 - SCOTT D. JOHNSON WAS EMPLOYED WITH A STATE-REGISTERED INVESTMENT ADVISER COMPANY WHILE EMPLOYED BY A MEMBER FIRM, AND ALTHOUGH HE HAD NO ROLE IN PREPARING MONTHLY INDIVIDUALIZED PERFORMANCE STATEMENTS REGARDING HEDGE FUNDS, HE OCCASIONALLY FORWARDED COPIES OF STATEMENTS TO INVESTORS WHEN REQUESTED TO DO SO. AFTER DISCOVERING THAT THE GAIN/LOSS VALUES REPORTED IN THE MONTHLY STATEMENTS WERE INCONSISTENT WITH ACTUAL PERFORMANCE OF THE FUNDS, JOHNSON QUESTIONED THE INVESTMENT ADVISER COMPANY'S PRESIDENT WHO FALSELY STATED THAT THE STATEMENTS REFLECTED PERSONAL MONETARY CONTRIBUTIONS MADE BY HIM TO THE FUNDS IN THE FORM OF WAIVED MANAGEMENT FEES. AFTER LEARNING THAT THE PERFORMANCE VALUES REPORTED IN THE MONTHLY STATEMENTS WERE INCONSISTENT WITH ACTUAL PERFORMANCE FIGURES, JOHNSON CONTINUED TO FORWARD THE STATEMENTS TO INVESTORS WITHOUT INFORMING THE RECIPIENTS THAT THE PERFORMANCE VALUES REPRESENTED "ADJUSTED" VALUES AND WITHOUT ATTEMPTING TO CONFIRM WHETHER MONETARY CONTRIBUTIONS WERE ACTUALLY BEING MADE BY THE INVESTMENT ADVISER COMPANY'S PRESIDENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/04/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	FOUR MONTHS
Start Date:	05/02/2011
End Date:	09/01/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	04/14/2011
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, JOHNSON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR FOUR MONTHS. THE SUSPENSION IS IN EFFECT FROM MAY 2, 2011 THROUGH SEPTEMBER 1, 2011.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: NA
Date Initiated:	04/04/2011

Docket/Case Number:	2009018077101
Employing firm when activity occurred which led to the regulatory action:	NWT FINANCIAL GROUP, LLC/GREENWING SECURITIES, INC
Product Type:	Other: HEDGE FUNDS
Allegations:	NASD RULE 2110 - SCOTT D. JOHNSON WAS EMPLOYED WITH A STATE-REGISTERED INVESTMENT ADVISER COMPANY WHILE EMPLOYED BY A MEMBER FIRM, AND ALTHOUGH HE HAD NO ROLE IN PREPARING MONTHLY INDIVIDUALIZED PERFORMANCE STATEMENTS REGARDING HEDGE FUNDS, HE OCCASIONALLY FORWARDED COPIES OF STATEMENTS TO INVESTORS WHEN REQUESTED TO DO SO. AFTER DISCOVERING THAT THE GAIN/LOSS VALUES REPORTED IN THE MONTHLY STATEMENTS WERE INCONSISTENT WITH ACTUAL PERFORMANCE OF THE FUNDS, JOHNSON QUESTIONED THE INVESTMENT ADVISER COMPANY'S PRESIDENT WHO FALSELY STATED THAT THE STATEMENTS REFLECTED PERSONAL MONETARY CONTRIBUTIONS MADE BY HIM TO THE FUNDS IN THE FORM OF WAIVED MANAGEMENT FEES. AFTER LEARNING THAT THE PERFORMANCE VALUES REPORTED IN THE MONTHLY STATEMENTS WERE INCONSISTENT WITH ACTUAL PERFORMANCE FIGURES, JOHNSON CONTINUED TO FORWARD THE STATEMENTS TO INVESTORS WITHOUT INFORMING THE RECIPIENTS THAT THE PERFORMANCE VALUES REPRESENTED "ADJUSTED" VALUES AND WITHOUT ATTEMPTING TO CONFIRM WHETHER MONETARY CONTRIBUTIONS WERE ACTUALLY BEING MADE BY THE INVESTMENT ADVISER COMPANY'S PRESIDENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/04/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	FOUR MONTHS
Start Date:	05/02/2011
End Date:	09/01/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00

Payment Plan:

Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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:	E A DIRECT AND GREENWING CAPITAL
Allegations:	ALLEGATIONS OF UNSUITABLE INVESTMENTS IN HEDGED FUNDS SOLD THROUGH RIA, GREENWING CAPITAL, OWNED BY JAMES HOLDMAN. JOHNSON AND HOLDMAN WERE REGISTERED WITH E A DIRECT.
Product Type:	Other: PRIVATE PLACEMENT HEDGE FUNDA
Alleged Damages:	$400,000.00
Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATE AMOUNT OF CLAIM

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-05022
Date Notice/Process Served:	09/20/2009
Arbitration Pending?	Yes
Firm Statement	CLIENT INVESTED IN HEDGE FUNDS SOLD THROUGH LOUISIANA STATE REGISTERED INVESTMENT ADVISER, GREENWING CAPITAL, OWNED BY JAMES HOLDMAN. JOHNSON AND HOLDMAN WERE REGISTERED WITH E A DIRECT AT THE TIME OF THE SALES, WHICH WAS A CONSIDERABLE AMOUNT OF TIME PRIOR TO THE EXISTENCE OF NWT FINANCIAL GROUP. JOHNSON AND HOLDMAN LATER BECAME REGISTERED WITH NWT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	E A DIRECT AND GREENWING CAPITAL
Allegations:	ALLEGATIONS OF UNSUITABLE INVESTMENTS IN HEDGED FUNDS SOLD THROUGH RIA, GREENWING CAPITAL, OWNED BY JAMES HOLDMAN. JOHNSON AND HOLDMAN WERE REGISTERED WITH E A DIRECT
Product Type:	Other: PRIVATE PLACEMENT HEDGE FUNDA
Alleged Damages:	$400,000.00

Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATE AMOUNT OF CLAIM

Customer Complaint Information

Date Complaint Received:	12/21/2009
Complaint Pending?	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-05022
Date Notice/Process Served:	09/20/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/20/2011
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	$10,000.00
Broker Statement	CLIENT INVESTED IN HEDGE FUNDS SOLD THROUGH LOUISIANA STATE REGISTERED INVESTMENT ADVISER, GREENWING CAPITAL, OWNED BY JAMES HOLDMAN. JOHNSON AND HOLDMAN WERE REGISTERED WITH E A DIRECT AT THE TIME OF THE SALES, WHICH WAS A CONSIDERABLE AMOUNT OF TIME PRIOR TO THE EXISTENCE OF NWT FINANCIAL GROUP. JOHNSON AND HOLDMAN LATER BECAME REGISTERED WITH NWT.

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:	Firm
Firm Name:	State Farm
Termination Type:	Discharged
Termination Date:	09/27/2019
Allegations:	The review concluded the individual failed to supervise the team members and ensure proper information was provided to the enterprise during the auto quoting process. No securities products involved.
Product Type:	Insurance

Reporting Source:	Individual
Firm Name:	STATE FARM VP MANAGEMENT CORP.
Termination Type:	Discharged
Termination Date:	09/27/2019
Allegations:	The review concluded the individual failed to supervise the team members and ensure proper information was provided to the enterprise during the auto quoting process. No securities products involved.
Product Type:	Insurance

End of Report

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