IAPD Report

CAROLINE Dorris Banky

CRD# 6113391

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

CAROLINE Dorris Banky (CRD# 6113391)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	07/12/2013
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	08/07/2023

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	BLOOMINGTON, IL	11/05/2012 - 12/31/2012

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
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 **3** 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	Alabama	Investment Adviser Representative	Approved	08/07/2023
IA	Georgia	Investment Adviser Representative	Approved	08/07/2023
IA	Mississippi	Investment Adviser Representative	Approved	08/07/2023

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
2805 6th Ave S
Birmingham, AL 35233

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	07/12/2013
B	Alabama	Agent	Approved	07/18/2013
B	Georgia	Agent	Approved	04/12/2023
B	Mississippi	Agent	Approved	04/11/2023

Qualifications

Branch Office Locations

2805 6th Ave S
Birmingham, AL 35233

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/02/2012

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/19/2023
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/18/2013

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
B	11/05/2012 - 12/31/2012	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	BLOOMINGTON, IL

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
08/2023 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Birmingham, AL, United States
01/2014 - Present	CAROLINE DORRIS INSURANCE AGENCY	OWNER/OPERATOR	Y	BIRMINGHAM, AL, United States
01/2014 - Present	STATE FARM VP MANAGEMENT CORP.	REGISTERED REPRESENTATIVE	Y	BIRMINGHAM, AL, United States
08/2018 - 06/2019	State Farm Investment Management Corp	Investment Adviser Representative	Y	Birmingham, AL, 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) Caroline Dorris's Insurance Agency; Insurance Agency; Investment-related; 2805 6th Ave S Birmingham, AL 35233-2801; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Owner; Agent; 01/01/2014; 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
Judgment/Lien	1

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 ALABAMA
Judgment/Lien Amount:	$432.28
Judgment/Lien Type:	Tax
Date Filed with Court:	05/19/2015
Date Individual Learned:	05/19/2015
Type of Court:	State Court
Name of Court:	JEFFERSON COUNTY
Location of Court:	716 RICHARD ARRINGTON JR BLVD N, ROOM 160 BIRMINGHAM, AL 35203
Judgment/Lien Outstanding?	Yes
Broker Statement	I PURCHASED A CONDOMINIUM AT THE ADDRESS [ADDRESS] ON 8/22/2014. PARCEL NUMBER: [PARCEL NUMBER]. THE CLOSING DOCUMENTS LISTED 'PROPERTY TAXES' TO BE SPLIT BETWEEN THE SELLER ([THIRD PARTY]) AND THE BUYER (MYSELF) FOR THE MONTH OF AUGUST ONLY. I MISUNDERSTOOD THE CONTRACT AND WAS UNDER THE ASSUMPTION THAT THE ENTIRE PROPERTY TAX AMOUNT FOR 2014 WAS INCLUDED IN CLOSING COSTS. I HAVE CONTINUED TO MAKE MORTGAGE PAYMENTS REGULARLY SINCE CLOSING. -I RECEIVED NOTICE FROM MY LENDER (BRYANT BANK) ON MAY 11, 2015 THAT MY PROPERTY TAXES WERE IN DELINQUENT STANDING. I WENT TO THE COURTHOUSE IMMEDIATELY THAT DAY TO PAY THE AMOUNT DUE INCLUDING PENALTIES ($356.20) FOR 2014. I WROTE A PERSONAL CHECK THAT WAS ACCEPTED BY THE ATTENDANT IN THE TAX COLLECTION OFFICE AT THE JEFFERSON COUNTY COURTHOUSE. I VERIFIED THAT I HAD GONE TO MAKE PAYMENT WITH MY LENDER. -I WAS LATER NOTIFIED (MAY 19TH) BY MAIL THAT JEFFERSON COUNTY WAS NO LONGER ACCEPTING PERSONAL CHECKS FOR 2014 PROPERTY TAXES ON THE DATE THAT I HAD WRITTEN THE CHECK. I WAS NOT INFORMED OF THIS WHEN I PRESENTED THE CHECK AT THE

COURTHOUSE. THE CHECK WAS MAILED BACK WITH THIS NOTICE.
-I WENT TO THE COURTHOUSE WITH CASH TO MAKE PAYMENT TO SATISFY ANY OUTSTANDING BALANCE. I WAS INFORMED THAT DAY (5/19) THAT NO PAYMENTS WERE BEING ACCEPTED AND THAT EACH PROPERTY WITH OUTSTANDING TAXES WOULD BE AUCTIONED TO INDIVIDUALS PREVIOUSLY REGISTERED WITH THE STATE OF ALABAMA.
- THE OUTSTANDING BALANCE WITH INTEREST OWED ON MY PROPERTY IS $432.28. I CONFIRMED THAT NO ONE PURCHASED THE LIEN AGAINST MY PROPERTY SO IT WILL BE HELD BY THE STATE OF ALABAMA UNTIL SATISFIED. THE OUTSTANDING TAX LIENS CANNOT BE PAID UNTIL FILED WITH THE STATE (EXPECTED TO BE JUNE 22ND).
-I DID NOT RECEIVE ANY MAIL CONCERNING THE SITUATION DUE TO THE SELLERS NAME BEING LISTED ON EACH MAIL ITEM AND AS A RESULT, THE MAIL WAS FORWARDED TO HIS NEW MAILING ADDRESS.
-I HAVE ADDRESSED THE SITUATION WITH MY LENDER AND THEY WILL NOT BE FILING ANY SORT OF DELINQUENCY OR NEGATIVE JUDGMENT.
-I CONFIRMED WITH THE STATE THAT THERE SHOULD BE NO FURTHER MAIL DISPERSED WITH THE PREVIOUS PROPERTY OWNERS NAME TO ELIMINATE ANY FUTURE MISCOMMUNICATION.
-I WILL BE SATISFYING THE OUTSTANDING LIEN AT THE EARLIEST DATE PAYMENT IS ACCEPTED BY THE STATE (EXPECTED JUNE 22). I HAVE CONTINUED TO CALL JEFFERSON COUNTY TAX COLLECTOR MULTIPLE TIMES A WEEK TO CHECK TO SEE IF AN EXACT DATE HAS BEEN DETERMINED BY THE STATE DECLARING WHEN TAX LIENS MAY BE PAID OFF.

End of Report

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