



IAPD Report

Rene Chavez

CRD# 8052637

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

i 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

Rene Chavez (CRD# 8052637)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STATE FARM INVESTMENT MANAGEMENT CORP.	CRD# 3487	05/01/2025
B	STATE FARM VP MANAGEMENT CORP.	CRD# 43036	05/23/2025

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
------	------	----------	--------------------

No information reported.

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
Criminal	3
Bond	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 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	05/23/2025
B Arizona	Agent	Approved	05/23/2025

Branch Office Locations

41620 W Maricopa Casa Grande Hwy
Ste 105
Maricopa, AZ 85138

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 Arizona	Investment Adviser Representative	Approved	05/01/2025

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.
41620 W Maricopa Casa Grande Hwy
Ste 105
Maricopa, AZ 85138



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
------	----------	------

Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	04/08/2025
Securities Industry Essentials Examination (SIE)	SIE	12/10/2024

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/2025
Uniform Securities Agent State Law Examination (S63)	Series 63	03/07/2025

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:

No information reported.

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
10/2025 - Present	Rene Chavez Insurance Agency	Owner/ Operator	Y	Maricopa, AZ, United States
03/2025 - Present	State Farm Investment Management Corp	Investment Adviser Representative	Y	Maricopa, AZ, United States
03/2025 - Present	State Farm VP Management Corp	Registered Representative	Y	Maricopa, AZ, United States
03/2025 - 10/2025	State Farm Insurance	Agency Intern	Y	Maricopa, AZ, United States
11/2016 - 03/2025	Bank of America	Vice President: Retail Banking Team Manager	N	Phoenix, AZ, United States
05/2013 - 11/2016	Bank of America	Assistant Vice President Credit Assistance Team Manager	N	Phoenix, AZ, 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) Rene Chavez Insurance Agency; Investment-related; 41620 W Maricopa Casa Grande Hwy Ste 105 Maricopa, AZ 85138; Insurance (State Farm Mutual Automobile Insurance Company and its affiliates); Owner; Agent; 10/01/2025; 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
Criminal	3
Bond	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Pinal County Superior Court
Location of Court:	Florence, Arizona United States
Docket/Case #:	COO20014978
Charge Date:	06/15/2001
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ARS/Charge Literal 12-3415A Possession of Drug Paraphernalia
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/17/2001
Disposition Date:	12/17/2001
Sentence/Penalty:	no complaint filed, charges were not filed case was dismissed

Disclosure 2 of 3

Reporting Source:	Individual
Formal Charges were	State Court



brought in:

Name of Court:	Maricopa Superior Court
Location of Court:	Phoenix, Arizona United States
Docket/Case #:	MSOA512187
Charge Date:	09/20/1999
Charge(s) 1 of 2	
Formal Charge(s)/Description:	ARS/Charge Literal 3551 Count 1 Drug Par
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No plea.
Disposition of charge:	Dismissed
Date of Amended Charge:	03/31/2000
Charge was Amended or reduced to:	No complaint filed.
Amended No of Counts:	1
Amended Charge:	No complaint filed.
Amended Plea:	No Plea
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	ARS/Charge Literal 3564 Count 1 Possession of Marijuana
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Pre-trial Intervention
Date of Amended Charge:	03/31/2000
Charge was Amended or reduced to:	Disposition: No Complaint Filed; the charges were dismissed.
Amended No of Counts:	2
Amended Charge:	case dismissed as no complaint filed
Amended Plea:	case dismissed as no complaint filed
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	03/31/2000
Disposition Date:	03/31/2000
Sentence/Penalty:	Disposition: No Complaint Filed, the charges were dismissed as I attended and



successfully completed T.A.S.C., Treatment Assessment Screening Center pre-trial intervention. The T.A.S.C. program carried a once a week fee of approximately \$18.00 when my color Brown was randomly selected during that week. I also paid a separate fine of approximately \$500.00.

Broker Statement

The felony charges occurred over 25 years ago during a period of my life when I had lost my grandmother. It was based on poor decision making and not have the emotional intelligence to properly deal well with the grief of losing a close loved one. I am thankful that the charges were not filed, and the case was dismissed and I certainly learned better ways to deal with grief since then.

Disclosure 3 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Maricopa County
Location of Court:	Phoenix, AZ
Docket/Case #:	Unknown
Charge Date:	12/15/1998
Charge(s) 1 of 2	
Formal Charge(s)/Description:	DRUG PARAPHERNALIA-POSSESS/USE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No Plea
Disposition of charge:	Dismissed
Date of Amended Charge:	03/31/2000
Charge was Amended or reduced to:	No complaint filed.
Amended No of Counts:	1
Amended Charge:	No complaint filed.
Amended Plea:	No plea.
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	MARIJUANA-POSSESS/USE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No plea.
Disposition of charge:	Dismissed
Date of Amended Charge:	03/31/2000



Charge was Amended or reduced to:	No complaint filed.
Amended No of Counts:	1
Amended Charge:	No complaint filed.
Amended Plea:	No Plea
Disposition of Amended Charge:	No complaint filed.
Current Status:	Final
Status Date:	03/31/2000
Disposition Date:	03/31/2000
Sentence/Penalty:	As part of a plea agreement to dismiss all the charges I agreed to pay a fine along with entering the T.A.S.C. program short for Treatment Assessment Screening Center where I would randomly submit a urine examination along with paying a small fee for each visit. I successfully completed that program and on 3/31/2000 a disposition of No Complaint Filed for those four charges.



Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source: Individual
Policy Holder: Pinal County Superior Court
Bonding Company Name: The Bonding Company Name is not available due to age of case 2001
Disposition: Payout
Disposition Date: 12/17/2001
Payout Amount: \$500.00
Date Paid: 12/17/2001

Broker Statement

On 6/15/2001 I was arrested by the Coolidge Police Department for Misdemeanor Assault and Felony Possession of Drug Paraphernalia. I pled Not Guilty to the charges and my family at the time used a Bail Bonds company out of Coolidge Arizona. They used their current home to secure a bail bond in the approximate amount of \$500.00.

I have made numerous attempts to confirm the name of the Bail Bonds company that I used in 2001, but all of my research has shown me that the company has either retired or is out of business. Also due to the age of the case being 24 years old I was not able to locate any information from the Pinal County Attorney Office or the Pinal County Superior court. They advised that cases over 10 years old are typically purged from their system.

I did not default on the Bond; I was able to successfully retrieve my family's funds back from the court. The case was dismissed and dispositioned as No complaint filed.



End of Report

This page is intentionally left blank.