

BrokerCheck 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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**Joshua R. Post**

CRD# 4044112

Currently employed by and registered with the following Firm(s):

- IA STATE FARM INVESTMENT MANAGEMENT CORP.**
 366 N Babcock St
 Ste 102
 Melbourne, FL 32935
 CRD# 3487
 Registered with this firm since: 11/06/2022
- B STATE FARM VP MANAGEMENT CORP.**
 400 REDLAND COURT
 SUITE 110
 OWINGS MILLS, MD 21117
 CRD# 43036
 Registered with this firm since: 10/19/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 3 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

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

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **STATE FARM INVESTMENT MANAGEMENT CORP.**

Main Office Address: **ONE STATE FARM PLAZA
B-2
BLOOMINGTON, IL 61710-0001**

Firm CRD#: **3487**

	U.S. State/ Territory	Category	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

Branch Office Locations

STATE FARM INVESTMENT MANAGEMENT CORP.

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

Employment 2 of 2

Firm Name: **STATE FARM VP MANAGEMENT CORP.**

Main Office Address: **ONE STATE FARM PLAZA
BLOOMINGTON, IL 61710-0001**

Firm CRD#: **43036**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	10/19/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/25/2025
B	Florida	Agent	Approved	10/20/2022

Branch Office Locations

STATE FARM VP MANAGEMENT CORP.
400 REDLAND COURT
SUITE 110
OWINGS MILLS, MD 21117



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 4 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 Investment Company Products/Variable Contracts Representative Examination	Series 6TO	10/18/2022
B Securities Industry Essentials Examination	SIE	04/15/2022
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/30/2004
B General Securities Representative Examination	Series 7	12/08/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/23/2022
B IA Uniform Combined State Law Examination	Series 66	12/30/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2010 - 08/2012	STATE FARM VP MANAGEMENT CORP.	43036	VERO BEACH, FL
B 03/2004 - 07/2009	STATE FARM VP MANAGEMENT CORP.	43036	MELBOURNE, FL
B 12/1999 - 03/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	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

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Insurance Company and its affiliates); Owner; Agent; 05/01/2023; 80; 80; Service customers and supervise employees

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

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: Broker

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



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer 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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