

BrokerCheck Report

FBL MARKETING SERVICES, LLC

CRD# 5309

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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
 - o 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.

www.finra.org/brokercheck
User Guidance

FBL MARKETING SERVICES, LLC

CRD# 5309

SEC# 8-15855

Main Office Location

5400 UNIVERSITY AVENUE WEST DES MOINES, IA 50266 Regulated by FINRA Kansas City Office

Mailing Address

5400 UNIVERSITY AVENUE WEST DES MOINES, IA 50266

Business Telephone Number

515-225-5400

Report Summary for this Firm



This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company. This firm was formed in Iowa on 08/15/2012. Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 44 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 6 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?

Yes

The following types of disclosures have been reported:

Type Count
Regulatory Event 1

This firm is classified as a limited liability company.

This firm was formed in Iowa on 08/15/2012.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

FBL MARKETING SERVICES, LLC
Doing business as FBL MARKETING SERVICES, LLC

CRD# 5309

SEC# 8-15855

Main Office Location

5400 UNIVERSITY AVENUE WEST DES MOINES, IA 50266

Regulated by FINRA Kansas City Office

Mailing Address

5400 UNIVERSITY AVENUE WEST DES MOINES, IA 50266

Business Telephone Number

515-225-5400



This section provides information relating to all direct owners and executive officers of the brokerage firm.



Direct Owners and Executive Officers

Legal Name & CRD# (if any): FBL FINANCIAL GROUP, INC

Is this a domestic or foreign entity or an individual?

Domestic Entity

Position OWNER

Position Start Date 01/2018

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

ALDRIDGE, ANTHONY JAMES

5999478

Is this a domestic or foreign

Individual

entity or an individual?

CHIEF ACCOUNTING OFFICER

Position Start Date

02/2016

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting

company?

Position

No

Legal Name & CRD# (if any):

GLEASON, MATHEW EVERETTE

6434929

Is this a domestic or foreign entity or an individual?

Individual

Position

PRESIDENT

Position Start Date

11/2017

the firm?

User Guidance



Direct Owners and Executive Officers (continued)

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

Is this a public reporting

No

company?

Legal Name & CRD# (if any):

MAY, CLINT JAMES

4129595

Is this a domestic or foreign entity or an individual?

Individual

Position

VICE PRESIDENT ASSISTANT GENERAL COUNSEL

Position Start Date

02/2016

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

Legal Name & CRD# (if any): M

MCGONEGLE, JULIE MARIE

2188891

Is this a domestic or foreign entity or an individual?

Individual

entity of all illustrations

FINANCIAL SERVICES ADMINISTRATION VICE PRESIDENT

Position Start Date

11/2017

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Position

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

MORGAN, JENNIFER LEA

User Guidance

Direct Owners and Executive Officers (continued)

2550729

Is this a domestic or foreign entity or an individual?

Individual

Less than 5%

Position CHIEF COMPLIANCE OFFICER & ASST. SECRETARY

Position Start Date 03/2015

Percentage of Ownership

Yes

Does this owner direct the management or policies of

the firm?

Is this a public reporting company?

No

Legal Name & CRD# (if any):

NELSON, JAMES ARTHUR

4640561

Is this a domestic or foreign entity or an individual?

Individual

Position

MANAGER LIFE ACCOUNTING AND FINOP

Position Start Date

10/2011

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting

No

company?

Legal Name & CRD# (if any): O'TOOL, MICHAEL DEAN

2570040

Is this a domestic or foreign entity or an individual?

Individual

Position

DIRECTOR COMPLIANCE

Position Start Date

02/2022

Percentage of Ownership

Less than 5%

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?

Yes

User Guidance

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

SEIBEL, DONALD JOSEPH

6140054

Is this a domestic or foreign entity or an individual?

Individual

Position

TREASURER

Position Start Date

01/2021

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

SHRYACK, CHRISTOPHER THOMAS

2105590

Is this a domestic or foreign entity or an individual?

Individual

Position

VICE PRESIDENT LIFE SALES

Position Start Date

02/2022

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

ST CLAIR, KARI LOUISE

3168561

User Guidance

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?

Individual

Position

DIRECTOR, MARKETING SVCS & FIELD SUPPORT

Position Start Date

01/2010

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of

the firm?

No

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Is this a public reporting

company?

No

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any): FARM BUREAU MULTI-STATE SERVICES, INC.

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

FARM BUREAU PROPERTY & CASUALTY INSURANCE COMPANY

Relationship to Direct Owner
Relationship Established

OWNER 05/2021

Percentage of Ownership

75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

FARM BUREAU MUTUAL HOLDING COMPANY

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

FARM BUREAU MULTI-STATE SERVICES, INC.

Relationship to Direct Owner

OWNER

Relationship Established

05/2021

Percentage of Ownership

75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

IOWA FARM BUREAU FEDERATION

Is this a domestic or foreign entity or an individual?

Domestic Entity



Indirect Owners (continued)

Company through which indirect ownership is established

FBL FINANCIAL GROUP, INC

Relationship to Direct Owner

OWNER

Relationship Established

06/1970

Percentage of Ownership

50% but less than 75%

Does this owner direct the management or policies of Yes

the firm?

Is this a public reporting

company?

No

Legal Name & CRD# (if any):

FARM BUREAU PROPERTY & CASUALTY INSURANCE COMPANY

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

FBL FINANCIAL GROUP, INC.

Relationship to Direct Owner

OWNER

Relationship Established

05/2021

Percentage of Ownership

25% but less than 50%

Does this owner direct the management or policies of

Yes

the firm?

Is this a public reporting

company?

No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.



This firm was previously: FBL MARKETING SERVICES, LLC

Date of Succession: 06/30/2021

Predecessor CRD#: 5309

Description THERE IS NO CHANGE IN CONTROL/OWNERSHIP FOR FBL MARKETING

SERVICES, LLC AND NO CHANGE IN THE ASSETS AND LIABILITIES OF THE FIRM. FOR TAX PURPOSES FBL MARKETING SERVICES IS A DISREGARDED ENTITY AND TAX REPORTING IS DONE UNDER FBL FINANCIAL GROUP'S

FEIN, SO WE WILL NO LONGER USE THE FEIN ENDING IN

XXXXX2215,INSTEAD USING THE FBL FINANCIAL GROUP FEIN.





This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 44 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/17/1970

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	08/20/1970





U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/07/2020
Alaska	Approved	02/15/2019
Arizona	Approved	06/15/1994
Arkansas	Approved	08/28/2019
California	Approved	03/02/2016
Colorado	Approved	02/09/1994
Delaware	Approved	04/21/1998
District of Columbia	Approved	01/31/2020
Florida	Approved	11/06/2019
Georgia	Approved	08/30/2019
Hawaii	Approved	01/04/2021
Idaho	Approved	04/06/1994
Illinois	Approved	05/01/2017
Indiana	Approved	05/13/1998
Iowa	Approved	07/14/1983
Kansas	Approved	07/01/1971
Kentucky	Approved	04/13/2020
Louisiana	Approved	10/07/2019
Maryland	Approved	09/29/2021
Michigan	Approved	03/23/2017
Minnesota	Approved	07/15/1982
Mississippi	Approved	09/30/2021
Missouri	Approved	03/27/1998
Montana	Approved	02/11/1994
Nebraska	Approved	03/09/1999
Nevada	Approved	03/08/2016
New Mexico	Approved	05/06/1994
North Carolina	Approved	01/24/2019
North Dakota	Approved	05/07/2019
Ohio	Approved	08/21/2019
Oklahoma	Approved	03/31/1994
Oregon	Approved	01/27/2021
Pennsylvania	Approved	05/14/2021

U.S. States & Territories	Status	Date Effective
South Carolina	Approved	06/17/2019
South Dakota	Approved	07/15/1982
Tennessee	Approved	05/07/2018
Texas	Approved	03/12/2019
Utah	Approved	05/18/1987
Vermont	Approved	03/15/2022
Virginia	Approved	02/07/2020
Washington	Approved	05/09/2019
West Virginia	Approved	10/02/2019
Wisconsin	Approved	04/27/1993
Wyoming	Approved	04/11/1994
Wisconsin	Approved	

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 6 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Mutual fund retailer

U S. government securities broker

Municipal securities broker

Broker or dealer selling variable life insurance or annuities





Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 3 WORLD FINANCIAL CENTER

NEW YORK, NY 10281

Effective Date: 11/15/2017

Description: FBL HAS ENTERED INTO A FULLY DISCLOSED CLEARING

ARRANGEMENT WITH RBC.

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Organization Affiliates

FINCE

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- · in control of
- · controlled by
- · or under common control with

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

FBL WEALTH MANAGEMENT, LLC is under common control with the firm.

CRD #: 291396

Business Address: 5400 UNIVERSITY AVENUE

WEST DES MOINES, IA 50266

Effective Date: 06/18/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory

Activities:

Yes

Description: APPLICANT AND CONTROL AFFILIATE ARE BOTH SUBSIDIARIES OF FBL

FINANCIAL GROUP, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- · state member bank of the Federal Reserve System
- · state non-member bank
- savings bank or association
- · credit union
- · or foreign bank

Disclosure Events



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

- 1. BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.
- 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 brokerage firm is required to disclose a particular criminal event.
- 3. Disclosure events in BrokerCheck reports come from different sources:
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
- 4. There are different statuses and dispositions for disclosure events:
 - o 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.
 - o 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 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.
- 5. You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Current Status: Final



Allegations: ON OR ABOUT JANUARY 27, 2009, SONNY LANE PLACED AN

ADVERTISEMENT IN THE LINCOLN JOURNAL STAR FOR A FIXED ANNUITY

WITH GUARANTEED RATE OF 4.60% FOR TWO YEARS

OFFERED BY FARM BUREAU FINANCIAL SERVICES. THE ADVERTISEMENT STATED THAT FARM BUREAU FINANCIAL SERVICES OFFERED INSURANCE

STATED THAT FARM BUREAU FINANCIAL SERVICES OFFERED INSURANCE AND INVESTMENTS. THE ADVERTISEMENT DID NOT DISCLOSE THAT SONNY LANE WAS AN AGENT OF EQUITRUST AND DID NOT STATE THAT SONNY LANE OFFERED AND SOLD SECURITIES THROUGH EQUITRUST. ACCORDING TO THE NEBRASKA DEPARTMENT OF INSURANCE, LANE, KASTENS AND SCHLUCKEBIER HAVE PRODUCER LICENSES, AUTHORIZED TO SELL PROPERTY AND CASUALTY INSURANCE; LIFE INSURANCE AND ANNUITIES; VARIABLE CONTRACTS; SICKNESS, ACCIDENT AND HEALTH INSURANCE; AND CROP INSURANCE. KASTENS IS ALSO LICENSED TO SELL CREDIT INSURANCE. EVERY INDIVIDUAL REGISTERED TO CONDUCT SECURITIES BUSINESS AS AN AGENT IS REQUIRED TO SUBMIT A UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION ("FORM U4") TO THE DEPARTMENT. ITEM 13 OF FORM U4 ASKS WHETHER THE PERSON IS

CURRENTLY ENGAGED IN ANY OUTSIDE BUSINESS, EITHER AS A PROPRIETOR, PARTNER, OFFICER, DIRECTOR, EMPLOYEE, TRUSTEE, AGENT, OR OTHERWISE. NON-INVESTMENT-RELATED ACTIVITY THAT IS EXCLUSIVELY CHARITABLE, CIVIC, RELIGIOUS OR FRATERNAL, AND IS RECOGNIZED AS TAX EXEMPT, MAY BE EXCLUDED. FORMS U4 FILED WITH THE DEPARTMENT ON BEHALF OF LANE, KASTENS AND SCHLUCKEBIER BY EQUITRUST DO NOT DISCLOSE THEIR INSURANCE LICENSES AS

OUTSIDE BUSINESS ACTIVITIES.

Initiated By: NEBRASKA

Date Initiated: 03/29/2010

Docket/Case Number:

URL for Regulatory Action:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief \$2500.00

Sought:

Resolution:

Consent

Resolution Date: 03/30/2010



Does the order constitute a

final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or No

deceptive conduct?
Sanctions Ordered:

Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: IT IS THEREFORE ORDERED THAT EQUITRUST MARKETING SERVICES,

LLC, SHALL PAY A FINE IN THE AMOUNT OF TWO THOUSAND FIVE HUNDRED DOLLARS (\$2,500.00). SUCH PAYMENT SHALL BE MADE BY CHECK, PAYABLE TO THE NEBRASKA DEPARTMENT OF BANKING AND FINANCE WITHIN THIRTY (30) DAYS OF THE EFFECTIVE DATE OF THIS ORDER. IN THE EVENT THAT EQUITRUST FAILS TO COMPLY WITH THE PROVISIONS OF THIS ORDER, THE DEPARTMENT MAY COMMENCE SUCH ACTION AS IT DEEMS NECESSARY AND APPROPRIATE IN THE PUBLIC

INTEREST. FINE PAID IN FULL.

Regulator Statement EQUITRUST NEITHER ADMITS NOR DENIES THE FINDINGS OF FACT AND

CONCLUSIONS OF LAW CONTAINED IN THIS ORDER AND CONSENTS TO ENTRY OF THIS ORDER BY THE DEPARTMENT AS SETTLEMENT OF THE

ISSUES CONTAINED IN THIS ORDER.

Reporting Source: Firm

Current Status: Final

Allegations: THE STATE OF NEBRASKA ALLEGED THAT ALL ADS PLACED BY

REGISTERED REPRESENTATIVES OF A BROKER DEALER MUST CONTAIN THE BROKER DEALER DISCLOSURE. A REGISTERED REPRESENTATIVE ACTING IN HIS CAPACITY AS AN INSURANCE AGENT PLACED A FIXED ANNUITY AD WITHOUT THE DISCLOSURE. THE AGENT IN QUESTION AS WELL AS 2 OTHER AGENTS HAD NOT DISCLOSED THEIR INSURANCE AGENT APPOINTMENTS AS OUTSIDE BUSINESS ACTIVITIES ON THEIR

FORM U4S.

Initiated By: STATE OF NEBRASKA, DEPARTMENT OF BANKING AND FINANCE

Date Initiated: 02/05/2009

Docket/Case Number: NONE

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Other



Sought:

Other Sanction(s)/Relief

Sought:

CONSENT ORDER AND FINE \$2500

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/25/2010

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER ENTERED. EQUITRUST NEITHER ADMITTED OR DENIED

THE DEPARTMENT'S FINDINGS AND PAID THE FINE.

www.finra.org/brokercheck

End of Report



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