

BrokerCheck Report

John Dudley Massey III

CRD# 3133056

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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.



John D. Massey III

CRD# 3133056

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

- IA FBL WEALTH MANAGEMENT, LLC**
 5400 University Ave
 West Des Moines, IA 50266
 CRD# 291396
 Registered with this firm since: 08/14/2018
- B FBL MARKETING SERVICES, LLC**
 5400 UNIVERSITY AVE
 WEST DES MOINES, IA 50266
 CRD# 5309
 Registered with this firm since: 08/09/2018

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
- 11 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B COUNTRY CAPITAL MANAGEMENT COMPANY**
 CRD# 12060
 PHOENIX, AZ
 11/2000 - 04/2018
- IA COUNTRY TRUST BANK**
 CRD# 109487
 BLOOMINGTON, IL
 04/2002 - 07/2007
- IA COUNTRY INSURANCE & FINANCIAL SERVICES**
 CRD# 12060
 BLOOMINGTON, IL
 04/2002 - 04/2002

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
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 11 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FBL MARKETING SERVICES, LLC**

Main Office Address: **5400 UNIVERSITY AVENUE
WEST DES MOINES, IA 50266**

Firm CRD#: **5309**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/09/2018
B	FINRA	Investment Co./Variable Contracts Prin	Approved	08/09/2018
B	FINRA	General Securities Representative	Approved	10/26/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/14/2018
B	Colorado	Agent	Approved	05/06/2019
B	Iowa	Agent	Approved	03/29/2019
B	Michigan	Agent	Approved	04/10/2019
B	Minnesota	Agent	Approved	03/22/2019
B	Montana	Agent	Approved	06/20/2019
B	North Dakota	Agent	Approved	03/22/2019
B	South Dakota	Agent	Approved	03/26/2019
B	Utah	Agent	Approved	04/16/2019
B	Wisconsin	Agent	Approved	03/25/2019



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Wyoming	Agent	Approved	06/04/2019

Branch Office Locations

FBL MARKETING SERVICES, LLC
 5400 UNIVERSITY AVE
 WEST DES MOINES, IA 50266

Employment 2 of 2

Firm Name: **FBL WEALTH MANAGEMENT, LLC**
 Main Office Address: **5400 UNIVERSITY AVENUE**
WEST DES MOINES, IA 50266
 Firm CRD#: **291396**

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	08/14/2018
IA	Colorado	Investment Adviser Representative	Approved	07/18/2019
IA	Montana	Investment Adviser Representative	Approved	06/03/2019
IA	Utah	Investment Adviser Representative	Approved	07/22/2019
IA	Wyoming	Investment Adviser Representative	Approved	06/21/2019

Branch Office Locations

5400 University Ave
 West Des Moines, IA 50266



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	11/05/2001

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	10/26/2018
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	11/23/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/21/1998

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/2000 - 04/2018	COUNTRY CAPITAL MANAGEMENT COMPANY	12060	PHOENIX, AZ
IA 04/2002 - 07/2007	COUNTRY TRUST BANK	109487	SCOTTSDALE, AZ
IA 04/2002 - 04/2002	COUNTRY INSURANCE & FINANCIAL SERVICES	12060	PHOENIX, AZ
B 12/1998 - 07/2000	EQUITRUST MARKETING SERVICES, LLC	5309	WEST DES MOINES, IA

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
07/2024 - Present	FBL Financial Group	Agency Wealth Management Sales VP	N	West Des Moines, IA, United States
07/2018 - Present	FBL MARKETING SERVICES, LLC	REGISTERED REP	Y	WEST DES MOINES, IA, United States
06/2018 - 07/2024	FARM BUREAU FINANCIAL SERVICES	REGIONAL MANAGER	N	PHOENIX, AZ, United States
03/2002 - 03/2018	COUNTRY INVESTMENT MANAGEMENT	REPRESENTATIVE	Y	BLOOMINGTON, IL, United States
08/2000 - 03/2018	COUNTRY COMPANIES	AGENCY MANAGER	Y	SCOTTSDALE, AZ, United States

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.

FBL WEALTH MANAGEMENT, LLC; INVESTMENT RELATED; 5400 UNIVERSITY AVE, WEST DES MOINES IA 50266; INVESTMENT ADVISORY AND FINANCIAL PLANNING; INVESTMENT ADVISER REPRESENTATIVE; DATE OF FBLWM RELEASE LETTER, UNTIL

Registration and Employment History



Other Business Activities, continued

FURTHER NOTICE; Varied HOURS PER MONTH; Varied HOURS DEVOTED PER MONTH DURING TRADING HOURS; PROVIDE INVESTMENT ADVISORY AND FINANCIAL PLANNING SERVICES TO CUSTOMERS; FEE BASED, HOURLY RATE.

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.
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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
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.

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:	Firm
Employer Name:	COUNTRY Capital Management Company
Termination Type:	Discharged
Termination Date:	03/23/2018
Allegations:	Creation and dissemination of materials that did not meet insurance and/or investment related laws, regulations, rules and/or standards of conduct.
Product Type:	Annuity-Fixed Annuity-Variable Debt-Corporate Debt-Government Debt-Municipal Equity Listed (Common & Preferred Stock) Insurance Mutual Fund

Reporting Source:	Broker
Employer Name:	Country Financial
Termination Type:	Discharged
Termination Date:	03/23/2018
Allegations:	The firm formed the belief that I created and disseminated materials that did not comply with insurance and investment related laws, regulations, rules/an and or



standards of conduct.

Product Type:

Annuity-Fixed
Annuity-Variable
Debt-Corporate
Debt-Government
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Insurance
Mutual Fund

Broker Statement

I have already responded to FINRA, and deny the allegations. Any materials that I created were used as training materials. Additionally, I was asked by the Agency VP and Sr. VP of agency to travel across the entire Country to present those same materials.

End of Report



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