



IAPD Report

Thomas Scott Nevitt

CRD# 4070325

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

Thomas Scott Nevitt (CRD# 4070325)

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 **12/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FBL MARKETING SERVICES, LLC	CRD# 5309	09/06/2023
IA	FBL WEALTH MANAGEMENT, LLC	CRD# 291396	10/23/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
IA	VOYA FINANCIAL ADVISORS, INC.	2882	DES MOINES, IA	11/08/2012 - 01/07/2016
B	VOYA FINANCIAL ADVISORS, INC.	2882	DES MOINES, IA	11/02/2012 - 01/07/2016
IA	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	DES MOINES, IA	02/15/2008 - 11/02/2012

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
Customer Dispute	1
Termination	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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **FBL MARKETING SERVICES, LLC**
Main Address: 5400 UNIVERSITY AVENUE
WEST DES MOINES, IA 50266
Firm ID#: 5309

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	09/06/2023
	FINRA	Investment Co./Variable Contracts Prin	Approved	08/23/2024
	Arizona	Agent	Approved	09/10/2024
	Colorado	Agent	Approved	09/04/2024
	Florida	Agent	Approved	08/29/2024
	Illinois	Agent	Approved	11/13/2024
	Indiana	Agent	Approved	08/29/2024
	Iowa	Agent	Approved	10/23/2023
	Michigan	Agent	Approved	08/30/2024
	Minnesota	Agent	Approved	08/30/2024
	Montana	Agent	Approved	08/29/2024
	Nebraska	Agent	Approved	08/28/2024
	Ohio	Agent	Approved	08/29/2024



Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	08/29/2024
B	South Dakota	Agent	Approved	08/29/2024
B	Utah	Agent	Approved	11/14/2025
B	Virginia	Agent	Approved	08/29/2024
B	Wyoming	Agent	Approved	09/06/2024

Branch Office Locations

215 10th St Ste 200
Des Moines, IA 50309

212 S FRANKLIN
CORYDON, IA 50060

Employment 2 of 2

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

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	09/04/2024
IA	Florida	Investment Adviser Representative	Approved	10/09/2024
IA	Illinois	Investment Adviser Representative	Approved	11/13/2024
IA	Indiana	Investment Adviser Representative	Approved	08/29/2024
IA	Iowa	Investment Adviser Representative	Approved	10/23/2023
IA	Michigan	Investment Adviser Representative	Approved	08/30/2024
IA	Montana	Investment Adviser Representative	Approved	08/29/2024
IA	Nebraska	Investment Adviser Representative	Approved	08/29/2024



Qualifications

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	08/29/2024
IA Pennsylvania	Investment Adviser Representative	Approved	08/29/2024
IA Utah	Investment Adviser Representative	Approved	11/14/2025
IA Virginia	Investment Adviser Representative	Approved	08/29/2024

Branch Office Locations

FBL WEALTH MANAGEMENT, LLC
5400 University Ave
West Des Moines, IA 50266



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

Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/23/2024

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	09/06/2023
 Securities Industry Essentials Examination (SIE)	SIE	07/11/2023
 General Securities Representative Examination (S7)	Series 7	03/02/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/10/2023
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/2000

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/08/2012 - 01/07/2016	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	DES MOINES, IA
B	11/02/2012 - 01/07/2016	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	DES MOINES, IA
IA	02/15/2008 - 11/02/2012	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	DES MOINES, IA
B	02/14/2008 - 11/02/2012	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	DES MOINES, IA
B	06/06/2005 - 12/03/2007	CHARLES SCHWAB & CO., INC.	CRD# 5393	DES MOINES, IA
IA	06/06/2005 - 12/03/2007	CHARLES SCHWAB & CO., INC.	CRD# 5393	DES MOINES, IA
B	07/01/2004 - 06/10/2005	NFP SECURITIES, INC.	CRD# 42046	AUSTIN, TX
IA	07/01/2004 - 06/10/2005	NFP SECURITIES, INC.	CRD# 42046	URBANDALE, IA
IA	12/11/2003 - 07/09/2004	PARK AVENUE SECURITIES LLC	CRD# 46173	DES MOINES, IA
B	06/10/2003 - 07/09/2004	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	05/15/2002 - 04/23/2003	EQUITRUST MARKETING SERVICES, LLC	CRD# 5309	WEST DES MOINES, IA
B	03/03/2000 - 05/06/2002	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA

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
04/2024 - Present	FBL Financial Group	District Manager	N	West Des Moines, IA, United States
05/2023 - Present	FBL Marketing Services	Registered Rep	Y	West Des Moines, IA, United States
12/2023 - 04/2024	FBL Financial Group	Wealth Management Advisor	N	West Des Moines, IA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - 12/2023	FBL Financial Group	Wealth Management Consultant	N	West Des Moines, IA, United States
05/2018 - 04/2023	GreenState Credit Union	Vice President - Branch Sales & Service Manager	N	Wes Des Moines, IA, United States
02/2013 - 10/2018	THE CAGE LLC	PART OWNER	N	DES MOINES, IA, United States
07/2010 - 05/2017	ADVOCARE	DISTRIBUTOR	N	DES MOINES, IA, 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.) Friends of Des Moines Park & Recreation, Board Member, 1551 E MLK JR Pkwy, Des Moines, IA 50317, Duties: Help organize events and fundraise. Start date 1/1/2023. 10 hours a month, 0 hours during trading hours.

2.) 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 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 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
Customer Dispute	1
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.

Allegations: THE CLIENT ALLEGES THE INVESTMENTS HE PURCHASED FROM 2008-2011 WERE UNSUITABLE AND MISREPRESENTED TO HIM BY THE REPRESENTATIVE. THE CLIENT ALSO ALLEGES THE FIRM FAILED TO CONDUCT ADEQUATE DUE DILIGENCE AND FAILED TO SUPERVISE THE ACTIONS OF THE REPRESENTATIVE.

Product Type: Direct Investment-DPP & LP Interests
Equipment Leasing
Oil & Gas
Real Estate Security
Other: BUSINESS DEVELOPMENT COMPANY

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE AMOUNT OF DAMAGES ARE UNKNOWN AT THIS TIME. HOWEVER, THE FIRM BELIEVES THE DAMAGES TO BE OVER \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes



**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 14-02050

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/27/2014

Customer Complaint Information

Date Complaint Received: 07/14/2014

Complaint Pending? No

Status: Settled

Status Date: 08/07/2015

Settlement Amount: \$105,000.00

**Individual Contribution
Amount:** \$0.00

Firm Statement THE FIRM, SOLELY TO COMPROMISE AND SETTLE DISPUTED CLAIMS,
AGREED TO SETTLE AN ARBITRATION WITH THE CLAIMANT.

.....

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.

Allegations: THE CLIENT ALLEGES THE INVESTMENTS HE PURCHASED FROM 2008-2011
WERE UNSUITABLE AND MISREPRESENTED TO HIM BY THE
REPRESENTATIVE. THE CLIENT ALSO ALLEGES THE FORMER FIRM FAILED
TO CONDUCT ADEQUATE DUE DILIGENCE AND FAILED TO CONDUCT
ADEQUATE DUE DILIGENCE AND FAILED TO SUPERVISE THE ACTIONS OF
THE REPRESENTATIVE.

Product Type: Direct Investment-DPP & LP Interests
Equipment Leasing
Oil & Gas
Real Estate Security
Other: BUSINESS DEVELOPMENT COMPANY

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** THE AMOUNT OF DAMAGES ARE UNKNOWN AT THIS TIME. HOWEVER, THE
FIRM BELIEVES THE DAMAGES TO BE OVER \$5,000.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 14-02050



Filing date of arbitration/CFTC reparation or civil litigation: 06/27/2014

Customer Complaint Information

Date Complaint Received: 07/22/2014
Complaint Pending? No
Status: Settled
Status Date: 08/12/2015
Settlement Amount: \$105,000.00
Individual Contribution Amount: \$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: VOYA FINANCIAL ADVISORS, INC
Termination Type: Permitted to Resign
Termination Date: 12/31/2015
Allegations: The Firm permitted the representative to resign while under heightened supervision.
Product Type: No Product

.....

Reporting Source: Individual
Firm Name: VOYA FINANCIAL ADVISORS, INC.
Termination Type: Permitted to Resign
Termination Date: 12/31/2015
Allegations: The Firm permitted the representative to resign while under heightened supervision.
Product Type: No Product



End of Report

This page is intentionally left blank.