



IAPD Report

Mary C Abundo

CRD# 1246048

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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.



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

Mary C Abundo (CRD# 1246048)

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 **11/26/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THRIVENT ADVISOR NETWORK, LLC	CRD# 304569	10/26/2021
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	09/19/2024

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
IA	COUNTERPOINT ASSET MANAGEMENT LLC	164291	Redondo Beach, CA	07/05/2018 - 03/09/2022
B	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE	10/08/2018 - 10/07/2021
IA	KESTRA PRIVATE WEALTH SERVICES, LLC	155193	WOODLAND HILLS, CA	02/05/2014 - 11/20/2017

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



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: **THRIVENT INVESTMENT MANAGEMENT INC.**
Main Address: 600 PORTLAND AVENUE SOUTH
MINNEAPOLIS, MN 55415
Firm ID#: 18387

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/19/2024

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
600 Portland Ave S
MINNEAPOLIS, MN 55415

THRIVENT INVESTMENT MANAGEMENT INC.
Redondo Beach, CA

Employment 2 of 2

Firm Name: **THRIVENT ADVISOR NETWORK, LLC**
Main Address: 600 PORTLAND AVENUE SOUTH
MINNEAPOLIS, MN 55415
Firm ID#: 304569

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	10/26/2021

Branch Office Locations

THRIVENT ADVISOR NETWORK, LLC
Redondo Beach, CA



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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	03/18/2024
Securities Industry Essentials Examination (SIE)	SIE	01/31/2017
General Securities Representative Examination (S7)	Series 7	02/10/1998
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/04/1989
Direct Participation Programs Representative Examination (S22)	Series 22	03/22/1984

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/28/2004
Uniform Investment Adviser Law Examination (S65)	Series 65	06/01/1999

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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/05/2018 - 03/09/2022	COUNTERPOINT ASSET MANAGEMENT LLC	CRD# 164291	Redondo Beach, CA
B	10/08/2018 - 10/07/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	CRD# 126159	ELKHORN, NE
IA	02/05/2014 - 11/20/2017	KESTRA PRIVATE WEALTH SERVICES, LLC	CRD# 155193	WOODLAND HILLS, CA
B	02/04/2014 - 01/31/2017	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	WOODLAND HILLS, CA
B	09/13/2012 - 08/28/2013	CETERA INVESTMENT SERVICES LLC	CRD# 15340	EL SEGUNDO, CA
B	08/21/2012 - 08/28/2013	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	EL SEGUNDO, CA
B	10/29/2004 - 08/28/2013	CETERA ADVISORS LLC	CRD# 10299	EL SEGUNDO, CA
B	01/29/2004 - 08/28/2013	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
B	10/29/2004 - 07/29/2011	ING FINANCIAL PARTNERS, INC.	CRD# 2882	EL SEGUNDO, CA
B	05/11/1999 - 10/07/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	02/11/1998 - 06/03/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	03/27/1989 - 11/14/1989	AMEV INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	11/14/1988 - 05/08/1989	BICO SECURITIES, INC.	CRD# 17223	
B	08/22/1986 - 02/18/1987	CENTRAL SECURITIES, INC.	CRD# 17791	
B	03/24/1986 - 09/15/1986	SHUMAN, ORTH & COMPANY, INC.	CRD# 8530	
B	03/23/1984 - 08/29/1984	ANGELES SECURITIES CORPORATION	CRD# 8083	



Registration & Employment History

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
09/2024 - Present	Thrivent Financial	Corporate Employee Licensed	Y	Appleton, WI, United States
09/2024 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
10/2021 - Present	Thrivent Advisor Network, LLC	Senior Operations Specialist	Y	Redondo Beach, CA, United States
09/2018 - 10/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
03/2018 - 10/2021	COUNTERPOINT MUTUAL FUNDS, LLC	INTERNAL SUPPORT - SALES	Y	SAN DIEGO, CA, United States
03/2017 - 02/2018	MONOGRAPH WEALTH ADVISORS, LLC	CLIENT SERVICE	Y	EL SEGUNDO, CA, United States
09/2013 - 03/2017	KESTRA PRIVATE WEALTH SERVICES, LLC	RELATIONSHIP MANAGER	Y	WOODLAND HILLS, CA, 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.

No information reported.



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

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:	WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC
Allegations:	CLAIMANT ALLEGES THAT FROM DECEMBER 1998 THROUGH JULY 2000, THERE WERE UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS MADE IN HER IRA ACCOUNT, DISTRIBUTIONS WERE MADE FROM HER IRA ACCOUNT TO A THIRD-PARTY WITHOUT HER CONSENT AND WACHOVIA FAILED TO SUPERVISE SALES ASSISTANT ABUNDO. CLAIMED DAMAGES ARE ALLEGED TO BE IN EXCESS OF \$750,000 BUT LESS THAN \$1,000,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$750,000.00

Customer Complaint Information

Date Complaint Received:	02/07/2005
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 05-00378

Date Notice/Process Served: 02/07/2005

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 04/28/2006

Firm Statement CIVIL LITIGATION FILED IN ERROR. THIS IS AN ARBITRATION FILED ON 02/07/05. RESPONDENT MARY ABUNDO WAS DISMISSED BY CLAIMANT WITHOUT PREJUDICE.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN THEIR ACCOUNT.

Product Type: Other

Other Product Type(s): MISCELLANEOUS

Alleged Damages: \$750,000.00

Customer Complaint Information

Date Complaint Received: 02/07/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 05-00378

Date Notice/Process Served: 02/07/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/01/2005

Monetary Compensation Amount: \$18,333.00

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS SETTLED DURING MEDIATION.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRIL LYNCH, WACHOVIA SECURITIES
Allegations:	CLAIMANT ALLEGES THAT FROM 12/98 TO 7/00, THERE WERE UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS MADE IN HER IRA ACCOUNT, DISTRIBUTIONS MADE TO THIRD PARTY W/O CONSENT AND FAILURE TO SUPERVISE SALES ASSISTANT (ABUNDO). DAMAGES ALLEGED TO BE IN EXCESS OF \$750,000 BUT LESS THAN \$1MM
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$750,000.00
Customer Complaint Information	
Date Complaint Received:	02/07/2005
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/07/2005
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR CASE NO 05-00378
Date Notice/Process Served:	02/07/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/01/2005
Monetary Compensation Amount:	\$18,333.00
Individual Contribution Amount:	\$0.00
Broker Statement	CIVIL LITIGATION FILE IN ERROR. THIS IS AN ARBITRATION FILED ON 2/7/05.



End of Report

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