



IAPD Report

Kharis J Quaintance

CRD# 2162054

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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

Kharis J Quaintance (CRD# 2162054)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	07/06/2023
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	07/25/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Jacksonville, FL	11/10/2021 - 06/20/2023
B	PRUCO SECURITIES, LLC.	5685	Jacksonville, FL	09/13/2021 - 06/20/2023
B	NYLIFE SECURITIES LLC	5167	JACKSONVILLE, FL	02/05/2021 - 09/08/2021

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
Criminal	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 **39** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	07/06/2023
B	FINRA	General Securities Representative	Approved	07/21/2023
B	Alabama	Agent	Approved	10/06/2023
B	California	Agent	Approved	10/06/2023
B	Colorado	Agent	Approved	11/16/2023
B	Connecticut	Agent	Approved	12/15/2023
B	District of Columbia	Agent	Approved	11/17/2023
IA	District of Columbia	Investment Adviser Representative	Approved	11/30/2023
B	Florida	Agent	Approved	07/06/2023
IA	Florida	Investment Adviser Representative	Approved	07/25/2023
B	Georgia	Agent	Approved	10/10/2023
B	Idaho	Agent	Approved	11/16/2023
B	Illinois	Agent	Approved	12/05/2023



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	11/17/2023
B Iowa	Agent	Approved	11/17/2023
B Kansas	Agent	Approved	11/15/2023
B Louisiana	Agent	Approved	08/22/2025
B Maine	Agent	Approved	04/04/2025
B Maryland	Agent	Approved	10/06/2023
B Massachusetts	Agent	Approved	11/15/2023
B Michigan	Agent	Approved	10/09/2023
B Minnesota	Agent	Approved	11/15/2023
B Mississippi	Agent	Approved	11/17/2023
B Missouri	Agent	Approved	11/16/2023
B Montana	Agent	Approved	01/04/2024
B New Jersey	Agent	Approved	11/15/2023
B New York	Agent	Approved	10/11/2023
B North Carolina	Agent	Approved	10/06/2023
B North Dakota	Agent	Approved	03/19/2024
B Ohio	Agent	Approved	10/11/2023
B Oklahoma	Agent	Approved	11/16/2023
IA Oklahoma	Investment Adviser Representative	Approved	11/16/2023



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	01/09/2024
B Pennsylvania	Agent	Approved	11/16/2023
B South Carolina	Agent	Approved	10/11/2023
B South Dakota	Agent	Approved	11/15/2023
B Tennessee	Agent	Approved	04/01/2024
B Texas	Agent	Approved	11/16/2023
IA Texas	Investment Adviser Representative	Restricted Approval	11/16/2023
B Utah	Agent	Approved	01/12/2024
B Virginia	Agent	Approved	11/16/2023
B Washington	Agent	Approved	11/15/2023
B West Virginia	Agent	Approved	04/07/2025
B Wisconsin	Agent	Approved	11/20/2023
B Wyoming	Agent	Approved	11/17/2023

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
4887 Belfort Rd
Jacksonville, FL 32256



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, 4 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	07/21/2023
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	02/05/2021
Securities Industry Essentials Examination (SIE)	SIE	12/11/2020
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/20/1992

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/2021
Uniform Securities Agent State Law Examination (S63)	Series 63	02/26/2021

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	11/10/2021 - 06/20/2023	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Jacksonville, FL
B	09/13/2021 - 06/20/2023	PRUCO SECURITIES, LLC.	CRD# 5685	Jacksonville, FL
B	02/05/2021 - 09/08/2021	NYLIFE SECURITIES LLC	CRD# 5167	JACKSONVILLE, FL
B	02/26/2008 - 03/25/2011	WORLD GROUP SECURITIES, INC.	CRD# 114473	JACKSONVILLE, FL
B	05/02/2007 - 12/31/2007	WORLD GROUP SECURITIES, INC.	CRD# 114473	JACKSONVILLE, FL
B	12/18/2003 - 08/25/2006	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	JACKSONVILLE, FL
B	05/15/2003 - 12/01/2003	COMPASS BROKERAGE, INC.	CRD# 17086	BIRMINGHAM, AL
B	10/01/2000 - 01/15/2003	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
IA	10/01/2000 - 01/15/2003	WACHOVIA SECURITIES, INC.	CRD# 19616	JACKSONVILLE, FL
B	05/04/2000 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	03/25/1993 - 09/27/1999	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
06/2023 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
06/2023 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Chilton, WI, United States
09/2021 - 06/2023	Pruco Securities, LLC.	Registered Representative	Y	Jacksonville, FL, United States
09/2021 - 06/2023	Prudential Insurance Company of America	Financial Professional	Y	Jacksonville, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2020 - 09/2021	NYLIFE Securities LLC	Registered Representative	Y	Jacksonville, FL, United States
10/2020 - 09/2021	New York Life Insurance Company	Agent	Y	Jacksonville, FL, United States
08/2007 - 10/2020	KhaJem LLC	Owner	Y	Jacksonville, FL, United States
10/2014 - 09/2020	Allstate	manager	Y	jacksonville, FL, 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.

JACKSONVILLE URBAN LEAGUE

POSITION: Board Member NATURE: Enable African Americans as well as other underserved communities to secure economic self reliance, parity power and civil rights INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2024

ADDRESS: 903 Union St W, Jacksonville FL 32204, United States

DESCRIPTION: Help manage organizations public image and reputation, Onboard new members Maintain integrity

KHAJEM LLC

POSITION: mbr NATURE: Real Estate Rentals ; Owner, start date 2/2004; 4 hours/month 0 trading hours/month ; residential real estate rental properties. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 04/04/2004

ADDRESS: 333 East 2nd St, Jacksonville FL 32206, United States

DESCRIPTION: Real estate building maintenance,

KHARIS QUAINANCE

POSITION: Broker NATURE: I receive residuals from health dental and vision from United Medical Group INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2020

ADDRESS: 333 East 2nd St, Jacksonville FL 32206, United States

DESCRIPTION: No duties

UNIVERSITY OF FLORIDA BLACK ALUMNI

POSITION: Treasurer NATURE: The Association of Black Alumni(ABA) is an affiliate group of the University of Florida. It exist to connect Black UF Alumni with opportunities to engage, network, and support one another as well as current prospective Black UF students INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2024

ADDRESS: 1938 W University Ave, gainesville FL 32603, United States

DESCRIPTION: Help balance/audit account for org 1 monthly meeting appx 1 hour. I do not have any signature responsibilities.

TABERNACLE BAPTIST INSTITUTIONAL CHURCH

POSITION: Trustee NATURE: Church offering contemporary worship, a nursery, and youth services, with a focus on community and spiritual growth. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 03/08/2026

ADDRESS: 903 Union st, Jacksonville FL 32206, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: I work as a part of a team of Church Trustees where I count money for accuracy and help complete bank deposit forms for bank deposit. I don't have any signature authority



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	JACKSONVILLE, FLORIDA. DUVAL COUNTY CIRCUIT COURTS CASE # 1991002043
Charge Date:	02/12/1991
Charge Details:	CCFA, 1. COUNT 2. FELONY 3. CHARGES DROPPED
Felony?	Yes
Current Status:	Final
Status Date:	02/12/1991
Disposition Details:	DISMISSED CHARGES DROPPED 02/12/1991 I DID NOT GO TO COUT NO PENALTIES
Broker Statement	I WAS ARRESTED FOR CARRYING A CONCEALED FIREARM. CHARGES WERE DROPPED THE ARREST WAS MADE ON 02/12/1991



End of Report

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