



IAPD Report

Thomas Joseph Ventura

CRD# 2340720

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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 Joseph Ventura (CRD# 2340720)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	01/13/2022
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	05/26/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
B	VERITY INVESTMENTS, INC.	41527	DURHAM, NC	04/01/2020 - 11/20/2020
IA	PRINCIPAL SECURITIES, INC.	1137	DAYTONA BEACH, FL	06/18/2015 - 11/15/2016
B	PRINCIPAL SECURITIES, INC.	1137	DAYTONA BEACH, FL	05/20/2015 - 11/15/2016

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 **10** 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	General Securities Representative	Approved	01/13/2022
B	California	Agent	Approved	11/28/2022
B	Connecticut	Agent	Approved	03/26/2026
B	Florida	Agent	Approved	05/26/2022
IA	Florida	Investment Adviser Representative	Approved	05/26/2022
B	Georgia	Agent	Approved	09/11/2023
B	Minnesota	Agent	Approved	09/25/2025
B	New Jersey	Agent	Approved	04/17/2026
B	New York	Agent	Approved	09/12/2022
B	North Carolina	Agent	Approved	10/11/2022
B	Pennsylvania	Agent	Approved	07/11/2023
B	South Carolina	Agent	Approved	09/29/2025

Branch Office Locations



Qualifications

THRIVENT INVESTMENT MANAGEMENT INC.

1301 Beville Road
Daytona Beach, FL 32119

THRIVENT INVESTMENT MANAGEMENT INC.

Palm Coast, FL

THRIVENT INVESTMENT MANAGEMENT INC.

4075 A1A South
Saint Augustine, FL 32080



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	09/27/2005
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/07/1998

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	11/15/2016
Futures Managed Funds Examination (S31)	Series 31	05/03/1996
General Securities Representative Examination (S7)	Series 7	11/11/1995

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	04/25/2022
Uniform Investment Adviser Law Examination (S65)	Series 65	06/03/2009
Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1995

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
B	04/01/2020 - 11/20/2020	VERITY INVESTMENTS, INC.	CRD# 41527	DURHAM, NC
IA	06/18/2015 - 11/15/2016	PRINCIPAL SECURITIES, INC.	CRD# 1137	DAYTONA BEACH, FL
B	05/20/2015 - 11/15/2016	PRINCIPAL SECURITIES, INC.	CRD# 1137	DAYTONA BEACH, FL
B	08/02/2013 - 05/21/2015	CABOT LODGE SECURITIES LLC	CRD# 159712	Daytona Beach, FL
IA	02/14/2013 - 05/21/2015	CL WEALTH MANAGEMENT LLC	CRD# 134922	SCHAUMBURG, IL
B	10/31/2012 - 08/29/2013	ALLIED BEACON PARTNERS, INC.	CRD# 46227	OCALA, FL
IA	06/09/2009 - 10/05/2012	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	PALM COAST, FL
B	02/06/2009 - 10/05/2012	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	PALM COAST, FL
B	06/17/2008 - 03/24/2009	BRIGHT TRADING, LLC	CRD# 34702	HENDERSON, NV
B	05/12/2005 - 06/05/2006	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	DAYTONA BEACH SHO FL
IA	05/09/2005 - 06/05/2006	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	DAYTONA BEACH SHO FL
B	03/03/2003 - 03/31/2004	ASSENT LLC	CRD# 104162	BOLINGBROOK, IL
B	01/29/2003 - 03/03/2003	ANDOVER BROKERAGE, L.L.C.	CRD# 33848	MONTEBELLO, NY
B	07/10/2002 - 01/22/2003	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	11/16/2001 - 06/19/2002	WACHOVIA SECURITIES FINANCIAL NETWORK, INC.	CRD# 11025	ST. LOUIS, MO
B	01/14/2000 - 11/21/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/23/1996 - 01/28/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	11/14/1995 - 06/18/1996	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, 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
10/2022 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
12/2021 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Daytona Beach, FL, United States
06/2022 - 10/2022	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
04/2017 - 06/2022	Ventura Real Estate Services	Owner	N	Daytona Beach, FL, United States
05/2015 - 06/2022	ACCENT INSURANCE GROUP	INSURANCE SALES	Y	OCALA, FL, United States
03/2020 - 11/2020	Encompass Investments, a division of Verity Investments, Inc	Registered Representative	Y	Durham, NC, United States
03/2020 - 11/2020	Encompass More, a division of Verity Asset Management	INVESTMENT ADVISOR REPRESENTATIVE	Y	Durham, NC, United States
01/2020 - 05/2020	Appreciation Financial	Insurance Agent	N	Daytona Beach, FL, United States
09/2018 - 01/2020	BRIGHT TRADING	Trader	Y	DAYTONA BEACH, FL, United States
05/2015 - 12/2016	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	DAYTONA BEACH, FL, United States
05/2015 - 12/2016	PRINCOR FINANCIAL SERVICES CORPORATION	REGISTERED REPRESENTATIVE	Y	DAYTONA BEACH, FL, United States
05/2015 - 11/2016	Principal Securities	Financial Advisor	Y	Daytona Beach, FL, United States



Registration & Employment History



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.

CASSANDRA REALTY INC

POSITION: President NATURE: Personal rental properties INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 01/15/2012
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Overseeing commercial and residential rental properties

CASSANDRA REALTY OF GAINESVILLE INC

POSITION: President NATURE: Residential rental property at the University of Florida where daughter attends college. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/15/2019
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Oversee daughter handling property

VENTURA REAL ESTATE SERVICES LLC

POSITION: President NATURE: Commercial real estate consulting firm verifying visual occupancy and condition. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 04/15/2017
ADDRESS: 4075 A1A South, Saint Augustine FL 32080, United States
DESCRIPTION: Overseeing office and accounting manager

VENTURA RESORT PROPERTIES INC

POSITION: President NATURE: Oceanfront and resort rental properties INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2020
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Oversee property managers

VENTURA RETAIL PROPERTIES INC

POSITION: President NATURE: Oversee property managers with commercial single tenant retail and strip center properties. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/31/2022
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Oversee property managers

VENTURA PROPERTIES OF FLORIDA INC

POSITION: President NATURE: Residential rental properties. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/30/2022
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Overseeing property managers

VENTURA CAPITAL LLC

POSITION: President NATURE: Manage personal rental properties INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/15/1999
ADDRESS: 80 Colechester Lane, Palm Coast FL 32137, United States
DESCRIPTION: Oversee personal rental properties

ACCENT INSURANCE GROUP LLC

POSITION: President NATURE: Collect/allocate ongoing payments from sale of Underlying asset INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/15/2011
ADDRESS: 4075 A1A S Suite B200, Saint Augustine FL 32080, United States
DESCRIPTION: Ensure payments are received; work with purchasing entity to address/resolve any issues that may come up and work with Accountant to ensure payments are allocated to correct LLC



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INSURANCE MARKET PLACE LLC

POSITION: President NATURE: Collect/allocate ongoing payments from sale of underlying asset INVESTMENT RELATED: No
NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/15/2012
ADDRESS: 4075 A1A South Ste B200, Saint Augustine FL 32080, United States
DESCRIPTION: Ensure payments are received; work with purchasing entity to address/resolve any issues that may come up and work with Accountant to ensure payments are allocated to correct LLC



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:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION CONCERNING MARGIN BUYING CAPABILITIES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	08/31/2000
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/15/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT DID NOT HAVE MONEY FOR MARGIN CALL, COMPLAINED AFTER BEING SOLD OUT, REALIZED FIRM HAD RIGHT TO SELL. I STLL REPRESENT CLIENT, NO ACTION WAS TAKEN.



End of Report

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