



## IAPD Report

# Brenda Lea Ingli

CRD# 2840471

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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

### Brenda Lea Ingli (CRD# 2840471)

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 **11/29/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	11/19/2021
<b>IA</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	11/19/2021

### 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
<b>IA</b>	THRIVENT INVESTMENT MANAGEMENT INC.	18387	Minneapolis, MN	11/17/2021 - 11/18/2021
<b>B</b>	ADVANCED ADVISOR GROUP, LLC	140393	Minnetonka, MN	03/16/2020 - 11/08/2021
<b>IA</b>	EFS ADVISORS	115211	Minnetonka, MN	03/16/2020 - 11/08/2021

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
Financial	5



## 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 1

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

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	11/19/2021
<b>B</b>	FINRA	General Securities Representative	Approved	11/19/2021
<b>B</b>	Minnesota	Agent	Approved	11/19/2021
<b>IA</b>	Minnesota	Investment Adviser Representative	Approved	11/19/2021

### Branch Office Locations

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

**THRIVENT INVESTMENT MANAGEMENT INC.**  
Minneapolis, MN





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




#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/18/2021
	General Securities Principal Examination (S24)	Series 24	10/17/2015

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/22/1998

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/25/2016
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1999

### 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	11/17/2021 - 11/18/2021	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	Minneapolis, MN
B	03/16/2020 - 11/08/2021	ADVANCED ADVISOR GROUP, LLC	CRD# 140393	Minnetonka, MN
IA	03/16/2020 - 11/08/2021	EFS ADVISORS	CRD# 115211	Minnetonka, MN
IA	06/27/2016 - 04/09/2020	RBC CAPITAL MARKETS, LLC	CRD# 31194	MINNEAPOLIS, MN
B	04/14/2015 - 04/09/2020	RBC CAPITAL MARKETS, LLC	CRD# 31194	MINNEAPOLIS, MN
B	05/25/2011 - 04/07/2015	ADVANCED ADVISOR GROUP, LLC	CRD# 140393	ST PAUL, MN
B	08/16/2010 - 12/22/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	04/28/2010 - 05/28/2010	NFP SECURITIES, INC.	CRD# 42046	WOODBURY, MN
B	05/11/2006 - 05/03/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	EDINA, MN
B	07/13/2005 - 04/20/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	MINNEAPOLIS, MN
B	02/21/2002 - 10/07/2003	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	04/09/1999 - 02/06/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	12/24/1998 - 04/12/1999	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

#### 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
11/2021 - Present	Thrivent Financial	Corporate Employee Licensed	Y	Appleton, WI, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
03/2020 - 10/2021	EFS Advisors/Advanced Advisor Group	Compliance Officer	Y	Minnetonka, MN, United States
04/2015 - 03/2020	RBC CAPITAL MARKETS, LLC	ADVISOR SERVICES OVERSIGHT SPECIALIST	Y	MINNEAPOLIS, MN, United States
04/2019 - 06/2019	Ann Taylor	Retail Sales	N	Bloomington, MN, 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
Financial	5

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 5

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	04/14/2023
<b>Organization Investment-Related?</b>	
<b>Action Pending?</b>	No
<b>Disposition:</b>	Physical payment
<b>Disposition Date:</b>	04/14/2023
<b>If a compromise with creditor, provide:</b>	
<b>Name of Creditor:</b>	US Bank
<b>Original Amount Owed:</b>	\$21,721.93
<b>Terms Reached with Creditor:</b>	Debt settled at \$11,721.93 (54%) by Freedom Debt Relief
<b>Broker Statement</b>	Freedom Debt Relief negotiated on my behalf in the settlement described above.

#### Disclosure 2 of 5

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	03/30/2023
<b>Organization Investment-Related?</b>	



**Action Pending?** No

**Disposition:** Direct Payment Procedure

**Disposition Date:** 03/30/2023

**If a compromise with creditor, provide:**

**Name of Creditor:** Affirm

**Original Amount Owed:** \$1,803.00

**Terms Reached with Creditor:** 45% Settlement Paid Directly to Creditor

**Amount Paid:** \$783.00

**SIPA (Securities Investor Protection Act)Trustee:**

**Currently Open?** No

**Date Direct Payment Initiated/Filed or Trustee Appointed:** 03/30/2023

**Broker Statement** Settlement negotiations performed by 3rd Party, Freedom Debt Relief.

**Disclosure 3 of 5**

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 10/11/2022

**Organization Investment-Related?**

**Action Pending?** Yes

**Disposition:** Direct Payment Procedure

**Disposition Date:** 10/11/2022

**If a compromise with creditor, provide:**

**Name of Creditor:** Citibank

**Original Amount Owed:** \$7,408.04

**Terms Reached with Creditor:** Settlement Amount: \$2,963.22 to be paid in 28 monthly increments beginning 10/31/2022 and ending 01/31/2025.

**Amount Paid:** \$2,963.22

**SIPA (Securities Investor Protection Act)Trustee:**



<b>Currently Open?</b>	Yes
<b>Date Direct Payment Initiated/Filed or Trustee Appointed:</b>	10/11/2022
<b>Broker Statement</b>	See comments under Occurrence ID 2165119
<b>Disclosure 4 of 5</b>	
<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	05/02/2023
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Satisfied judgment brought against me by Goldman Sachs (see related U4 section). by paying in full amt due in May 2023.
<b>Name of Court:</b>	
<b>Location of Court:</b>	
<b>Docket/Case #:</b>	
<b>Action Pending?</b>	No
<b>Disposition:</b>	Direct Payment Procedure
<b>Disposition Date:</b>	05/02/2023
<b>If a compromise with creditor, provide:</b>	
<b>Name of Creditor:</b>	Goldman Sachs Bank USA
<b>Original Amount Owed:</b>	\$20,577.00
<b>Terms Reached with Creditor:</b>	Information provided by Freedom Debt Relief
	Balance at Settlement: \$20,906.01 Settlement Amount: \$14,700 Settlement Payments: 7/31/2022 through 6/26/2023
<b>Amount Paid:</b>	\$20,906.01
<b>SIPA (Securities Investor Protection Act)Trustee:</b>	
<b>Currently Open?</b>	No
<b>Date Direct Payment Initiated/Filed or Trustee Appointed:</b>	05/02/2023
<b>Broker Statement</b>	Original status: Negotiated balance (\$14,700) to be paid in 12 equal monthly payments to Goldman Sachs Bank USA. However, in April 2023, Freedom Debt Relief introduced Achieve loan as solution to payoff all debtors and make one payment (debt consolidation loan). The loan proceeds were used to satisfy the amt due Goldman Sachs. As a result, a judgment lien was satisfied and released (see appropriate section).



I take full responsibility for the delay in updating this record. I did update the status of the judgment in the appropriate section of this U-4 in a timely manner. Having felt much relief at the time, the individual creditor record may have slipped my mind. I may have also had reason to believe that by updating the satisfaction of judgement in June 2023, that that action would somehow be transferred and correlated to the status of the Goldman Sachs debt settlement.

As of 11/15/2024, I significantly downsized my home and life by selling my Washburn home and buying a home on Irving Ave N (see recent address change). Proceeds from this sale are being used to pay-off the Achieve debt consolidation loan (due to their disparagingly high interest rates) and other unsecured debt as well as to purchase a vehicle for which I am currently without.

**Disclosure 5 of 5**

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 06/17/2021

**Organization Investment-Related?**

**Type of Court:** n/a

**Name of Court:**

**Location of Court:**

**Docket/Case #:**

**Action Pending?** No

**Disposition:** Freedom Debt Relief negotiated a settlement with FNB Omaha which was finalized on 6/17/2021

**Disposition Date:** 06/17/2021

**If a compromise with creditor, provide:**

**Name of Creditor:** FNB Omaha

**Original Amount Owed:** \$17,697.54

**Terms Reached with Creditor:** Settlement Amount: \$7,079.02 (40%) Structured settlement (monthly payments) began 6/29/2021.

**Broker Statement**

I regret I did not understand that credit compromises (settlements reached) in an amount over a specific threshold are required to be reported to FINRA within 30 days. It was my understanding that a receipt of a 1099C document would trigger the notification to FINRA. After the settlement in May 2020, I had tried to research this topic on FINRA.org,, but was unable to locate the exact information. In retrospect, I wish I had contacted FINRA directly to get the correct information. I did not feel comfortable bringing it to my direct supervisor at my previous employer, a smaller dually registered organization..

Financial Hardship is described under "Judgment/Lien" section.



## End of Report

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