



IAPD Report

Mark Robert Laurent

CRD# 2978302

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

Mark Robert Laurent (CRD# 2978302)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	03/14/2018
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	04/04/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	COMMONWEALTH FINANCIAL NETWORK	8032	WALTHAM, MA	04/10/2002 - 12/31/2005
B	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX	08/02/2000 - 12/17/2001

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	11



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 **6** 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	03/14/2018
B	Florida	Agent	Approved	03/28/2024
B	Illinois	Agent	Approved	04/01/2024
B	Indiana	Agent	Approved	04/04/2018
IA	Indiana	Investment Adviser Representative	Approved	04/04/2018
B	Iowa	Agent	Approved	01/31/2025
B	Kentucky	Agent	Approved	01/28/2025
B	Ohio	Agent	Approved	04/16/2018
IA	Ohio	Investment Adviser Representative	Approved	03/30/2023

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
712 W Ervin Road
Van Wert, OH 45891

THRIVENT INVESTMENT MANAGEMENT INC.
3711 Rupp Dr
Fort Wayne, IN 46815

THRIVENT INVESTMENT MANAGEMENT INC.
739 E Monroe St
Decatur, IN 46733



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, 2 general industry/product exams, and 3 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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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/14/2018

State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	04/03/2018
		Uniform Investment Adviser Law Examination (S65)	Series 65	11/26/2002
		Uniform Securities Agent State Law Examination (S63)	Series 63	09/01/2000

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
B	04/10/2002 - 12/31/2005	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	WALTHAM, MA
B	08/02/2000 - 12/17/2001	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

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
06/2018 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
02/2018 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Van Wert, OH, United States
02/2018 - 06/2018	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
01/2006 - 02/2018	BLACKROCK SPORTS INC.	OWNER PRESIDENT	N	FORT WAYNE, IN, 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	11

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 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/28/2023

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 02/28/2023

If a compromise with creditor, provide:

Name of Creditor: American Express

Original Amount Owed: \$14,565.00

Terms Reached with Creditor: One Time Payoff Completed for \$8188.00.

Amount Paid: \$8,188.00

SIPA (Securities Investor Protection Act) Trustee: Freedom Debt Relief

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 02/28/2023

Broker Statement In January 2018, prior to joining Thrivent Financial, I lost my business in a house



fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled in a debt relief program. This compromise is the final piece of the total debt repayment program.

Disclosure 2 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 05/13/2021

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 05/13/2021

If a compromise with creditor, provide:

Name of Creditor: American Express

Original Amount Owed: \$15,017.14

Terms Reached with Creditor: Settlement amount reached for \$8,260 with first payment processed for \$1260 on 5/20/21 and subsequent 17 monthly payments of \$412.00. Final payment scheduled for 10/20/2022.

Amount Paid: \$8,260.00

SIPA (Securities Investor Protection Act) Trustee: American Express

Currently Open? Yes

Date Direct Payment Initiated/Filed or Trustee Appointed: 05/13/2021

Broker Statement

In January 2018, prior to joining Thrivent Financial, I lost my previous business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in normal fashion. As a result, I enrolled in a debt relief program. This compromise with a creditor represents the last part of the systematic repayment program.

Disclosure 3 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/22/2021

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure



Disposition Date: 04/26/2021

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

Name of Creditor: Citibank

Original Amount Owed: \$2,349.24

Terms Reached with Creditor: Settlement amount of \$1997.00 Paid in Full with one time payment on 4/26/21.

Amount Paid: \$1,997.00

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

Currently Open? No

**Date Direct Payment
Initiated/Filed or Trustee
Appointed:** 04/26/2021

Disclosure 4 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 01/15/2020

Organization Name: Black Rock Sports

Individual Position: President

**Organization Investment-
Related?** No

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 01/15/2020

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

Name of Creditor: Chase Bank

Original Amount Owed: \$12,824.41

Terms Reached with Creditor: Settlement of \$6414 with 12 monthly repayments of \$535 starting on 2/5/2020 and ending on 1/5/2021.

Amount Paid: \$6,414.00

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

Currently Open? No

**Date Direct Payment
Initiated/Filed or Trustee
Appointed:** 01/15/2020

**Broker Statement**

In January of 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled into a debt relief program. This compromise with a creditor is a part (8/10) of that systematic repayment program.

Disclosure 5 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/11/2019

Organization Name: Black Rock Sports

Individual Position: President

Organization Investment-Related? No

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 10/11/2019

If a compromise with creditor, provide:

Name of Creditor: Synchrony Bank MCM2

Original Amount Owed: \$5,464.61

Terms Reached with Creditor: 2732.31, \$60/mo starting 10/31/2019

Amount Paid: \$2,732.31

SIPA (Securities Investor Protection Act) Trustee:

Currently Open? Yes

Date Direct Payment Initiated/Filed or Trustee Appointed: 10/11/2019

Broker Statement

In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled into a debt relief program. This compromise with a creditor is a part of that systematic repayment program.

Disclosure 6 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 08/14/2019

Organization Investment-Related? No



Type of Court:	State Court
Name of Court:	Allen County Superior Court
Location of Court:	Fory Wayne, Indiana
Docket/Case #:	02D02-1906-SC-8089
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	08/14/2019
If a compromise with creditor, provide:	
Name of Creditor:	Citibank, N.A.
Original Amount Owed:	\$4,747.66
Terms Reached with Creditor:	\$4200 total with \$350/mo for 12 months payment on 28th of month starting 8/28/2019 thru 7/28/2020
Amount Paid:	\$4,200.00
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	No
Date Direct Payment Initiated/Filed or Trustee Appointed:	08/28/2019
Broker Statement	In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service this debt in a normal fashion. As a result, I enrolled in a debt releif program. This compromise with a creditor is a part of that systematic repayment program.
Disclosure 7 of 11	
Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/08/2019
Organization Name:	Black Rock Sports
Individual Position:	President
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	05/08/2019
If a compromise with creditor, provide:	
Name of Creditor:	Capital One



Original Amount Owed: \$15,145.79
Terms Reached with Creditor: Settlement of \$8,027.27. over 36 payments beginning 5/8/19

Amount Paid: \$8,027.27

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? Yes

Date Direct Payment Initiated/Filed or Trustee Appointed: 05/08/2019

Broker Statement In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled into a debt relief program. This compromise with a creditor is a part of that systematic repayment program.

Disclosure 8 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/14/2019

Organization Name: Black Rock Sports

Individual Position: President

Organization Investment-Related? No

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 02/14/2019

If a compromise with creditor, provide:

Name of Creditor: American Express

Original Amount Owed: \$4,616.51

Terms Reached with Creditor: Settled for \$1848.00. 5 payments from 2/14/19 to 6/17/19

Amount Paid: \$1,848.00

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 02/14/2019

Broker Statement In January of 2018, prior to joining Thrivent Financial, I lost my business in a house



fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled into a debt relief program. This compromise with a creditor is a part of that systematic repayment program.

Disclosure 9 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 01/21/2019

Organization Name: Black Rock Sports

Individual Position: President

Organization Investment-Related? No

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 01/21/2019

If a compromise with creditor, provide:

Name of Creditor: Capital One

Original Amount Owed: \$17,579.00

Terms Reached with Creditor: Settlement of \$9317.00, 36 monthly payments

Amount Paid: \$9,317.00

SIPA (Securities Investor Protection Act) Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 01/21/2019

Broker Statement

In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss of assets and income. Without sufficient income available from business operations, I was unable to service the debt in a normal fashion. As a result, I enrolled in a debt relief program. This compromise with a creditor is a part of that systematic repayment program.

Disclosure 10 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 01/09/2019

Organization Investment-Related?

Action Pending? No



Disposition: Direct Payment Procedure

Disposition Date: 01/09/2019

If a compromise with creditor, provide:

Name of Creditor: Walmart

Original Amount Owed: \$2,925.00

Terms Reached with Creditor: \$1023 Settlement over 3 monthly payments

Amount Paid: \$1,023.00

SIPA (Securities Investor Protection Act) Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 01/09/2019

Broker Statement In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss. Without sufficient income available from the business operations, I was unable to service the debt in a normal fashion. As a result of this, I enrolled in a debt relief program. This compromise with a creditor is a part of that systematic repayment program.

Disclosure 11 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 08/22/2018

Organization Name: Black Rock Sports

Individual Position: President

Organization Investment-Related? No

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 08/22/2018

If a compromise with creditor, provide:

Name of Creditor: Bank of America

Original Amount Owed: \$3,552.59

Terms Reached with Creditor: Account settled for \$2132.00

Amount Paid: \$2,132.00



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

Currently Open? No

**Date Direct Payment
Initiated/Filed or Trustee
Appointed:** 08/22/2018

Broker Statement

In January 2018, prior to joining Thrivent Financial, I lost my business in a house fire. It was a total loss. Without income available to the business, I could not service the debt. As a result of this, I have entered into a debt relief program. This compromise with a creditor transaction is a part of that program.



End of Report

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