IAPD Report

BRYON EDWARD MEYER

CRD# 4180506

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

BRYON EDWARD MEYER (CRD# 4180506)

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 **05/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/14/2021
IA	LPL FINANCIAL LLC	CRD# 6413	09/15/2021

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	GRADIENT SECURITIES, LLC	127701	Sioux Falls, SD	08/19/2015 - 09/14/2021
IA	GRADIENT WEALTH MANAGEMENT	127701	Sioux Falls, SD	08/19/2015 - 09/14/2021
IA	FINTEGRA, LLC	16741	SIOUX FALLS, SD	10/01/2014 - 08/11/2015

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
Regulatory Event	1
Customer Dispute	3
Termination	1
Bond	1

Report Summary

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: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/14/2021
B	Colorado	Agent	Approved	09/14/2021
B	Minnesota	Agent	Approved	09/20/2021
B	North Carolina	Agent	Approved	04/11/2025
B	North Dakota	Agent	Approved	01/22/2024
B	South Dakota	Agent	Approved	09/15/2021
IA	South Dakota	Investment Adviser Representative	Approved	09/15/2021
B	West Virginia	Agent	Approved	02/10/2025

Branch Office Locations

LPL FINANCIAL LLC
1601 E 69TH ST STE 204
SIOUX FALLS, SD 57108

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/26/2002
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/09/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/04/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/2000

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	08/19/2015 - 09/14/2021	GRADIENT SECURITIES, LLC	CRD# 127701	Sioux Falls, SD
IA	08/19/2015 - 09/14/2021	GRADIENT WEALTH MANAGEMENT	CRD# 127701	Sioux Falls, SD
IA	10/01/2014 - 08/11/2015	FINTEGRA, LLC	CRD# 16741	SIOUX FALLS, SD
B	10/01/2013 - 08/11/2015	FINTEGRA, LLC	CRD# 16741	SIOUX FALLS, SD
IA	04/18/2013 - 10/16/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SIOUX FALLS, SD
B	05/14/2012 - 10/16/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SIOUX FALLS, SD
B	08/10/2000 - 02/24/2011	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	SIOUX FALLS, SD

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
09/2021 - Present	LPL Financial, LLC	Registered Representative	Y	Sioux Falls, SD, United States
06/2018 - Present	MEYER'S BAKERY CO DBA NOTHING BUNDT CAKES	OWNER	N	SIOUX FALLS, SD, United States
10/2013 - Present	MEYER FINANCIAL SERVICES, LLC	OWNER	Y	SIOUX FALLS, SD, United States
08/2015 - 09/2021	GRADIENT SECURITIES, LLC	REGISTERED REPRESENTATIVE/INVESTMENT ADVISOR REPRESENTATIVE	Y	ARDEN HILLS, MN, United States
07/2015 - 05/2017	PLAINS COMMERCE BANK	MORTGAGE BANKER	N	SIOUX FALLS, SD, 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.

1) 6/2021 - DBA for LPL Business (entity for LPL business) - Meyer Financial Services - Investment Related - 90% - Sioux Falls, SD 57108
2) 6/2018 - Other: Retail Bakery - Meyers Bakery Co DBA NOTHING BUNDT CAKES - Not Investment Related - 10% - Sioux Falls, SD 57108

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
Regulatory Event	1
Customer Dispute	3
Termination	1
Bond	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/15/2011
Docket/Case Number:	2011026619801
Employing firm when activity occurred which led to the regulatory action:	THRIVENT INVESTMENT MANAGEMENT INC.
Product Type:	Annuity-Variable
Allegations:	FINRA RULES 2010, 3270, NASD RULE 3030: MEYER FAILED TO PROVIDE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM OF HIS OUTSIDE BUSINESS ACTIVITIES. MEYER VERBALLY INFORMED HIS SUPERVISORS OF THE OUTSIDE BUSINESS ACTIVITIES AND HIS BUSINESS PLANS BUT FAILED TO PROVIDE HIS FIRM WITH WRITTEN NOTICE OF THE OUTSIDE BUSINESS ACTIVITIES. MEYER CONDUCTED FOUR SUBACCOUNT TRANSFERS, OR TRANSACTIONS, IN AN IRA ACCOUNT, WHICH HELD ONLY A VARIABLE ANNUITY. THE FOUR ANNUITY SUB-ACCOUNT TRANSACTIONS REDUCED THE VALUE OF THE VARIABLE ANNUITY CONTRACT BY $1,395.15 BY THE TIME THE ACCOUNT WAS FORMALLY TRANSFERRED TO HIS WIFE. IN ADDITION, MEYER TRANSFERRED $1,800 FROM THE IRA ACCOUNT TO HIS PERSONAL BANK ACCOUNT. THE FIRM IMMEDIATELY REVERSED THE TRANSACTION AND REIMBURSED MEYER'S WIFE $1,395.15 FOR THE

	ACCOUNT'S REDUCTION IN VALUE CAUSED BY MEYER'S TRANSACTIONS. MEYER HAS MADE FULL RESTITUTION TO THE FIRM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/15/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	25 BUSINESS DAYS
Start Date:	09/19/2011
End Date:	10/21/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$12,500.00
Portion Levied against individual:	$12,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	07/17/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MEYER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $12,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 25 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 25 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM SEPTEMBER 19, 2011 THROUGH OCTOBER 21, 2011. FINE PAID IN FULL ON JULY 17, 2013.

Reporting Source:	Individual

Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/15/2011
Docket/Case Number:	2011026619801
Employing firm when activity occurred which led to the regulatory action:	THRIVENT INVESTMENT MANAGEMENT
Product Type:	Annuity-Variable
Allegations:	FINRA RULES 2010, 3270 AND NASD RULE 3030: MR.MEYER FAILED TO PROVIDE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM OF HIS OUTSIDE BUSINESS ACTIVITIES. MEYER VERBALLY INFORMED HIS SUPERVISORS OF THE OUTSIDE BUSINESS ACTIVITIES AND HIS BUSINESS PLANS BUT FAILED TO PROVIDE HIS FIRM WITH WRITTEN NOTICE OF THE OUTSIDE BUSINESS ACTIVITIES. MEYER CONDUCTED FOUR SUBACCOUNT TRANSFERS, OR TRANSACTIONS, IN AN IRA ACCOUNT, WHICH HELD ONLY A VARIABLE ANNUITY. THE FOUR ANNUITY SUBACCOUNT TRANSACTIONS REDUCED THE VALUE OF THE VA CONTRACT BY $1,395.15 BY THE TIME THE ACCOUNT WAS FORMALLY TRANSFERRED TO HIS WIFE. IN ADDITION, MEYER TRANSFERRED $1800.00 FROM THE IRA ACCOUNT TO HIS PERSONAL BANK ACCOUNT. THE FIRM IMMEDIATELY REVERSED THE TRANSACTION AND REIMBURSED MEYER'S WIFE $1,395.15 FOR THE ACCOUNT'S REDUCTION IN VALUE CAUSED BY MEYER'S TRANSACTIONS. MEYER HAS MADE FULL RESTITUTION TO THE FIRM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/15/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	25 BUSINESS DAYS
Start Date:	09/19/2011
End Date:	10/21/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$12,500.00

Portion Levied against individual:	$12,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/17/2013
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADDMITTING OR DENYING THE FINDINGS, MEYER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE WAS FINED $12,500.00 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 25 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 25 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WAS IN EFFECT FROM SEPTEMBER 19, 2011 THROUGH OCTOBER 21, 2011.

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT INC
Allegations:	THE CUSTOMER ALLEGED THAT WHEN SHE SURRENDERED TWO LIFE INSURANCE CONTRACTS WITH A TOTAL DEATH BENEFIT OF $18,000, TO PURCHASE A VARIABLE ANNUITY (ISSUED 12/15/10) WITH A DEATH BENEFIT OF $10,000, SHE WAS TOLD BY THE REGISTERED REPRESENTATIVE THAT THE DIVIDENDS WERE NOT SUFFICIENT TO COVER THE PREMIUMS ON THE LIFE CONTRACT THE OTHER LIFE CONTRACT. CUSTOMER ALLEGES VA WAS UNSUITABLE BECAUSE SHE LOST DEATH BENEFIT. RESEARCH REVEALED VA PRODUCT MET CUSTOMER'S STATED GOALS AND DISCLOSURE WAS PROVIDED. DENIED CUSTOMER'S REQUEST TO REVERSE TRANSACTION.
Product Type:	Annuity-Variable
Alleged Damages:	$8,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/15/2011
Complaint Pending?	No
Status:	Denied
Status Date:	06/15/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT
Allegations:	THE CUSTOMER ALLEGED THAT WHEN SHE SURRENDERED TWO LIFE INSURANCE CONTRACTS WITH A TOTAL DEATH BENEFIT OF $18,000, TO PURCHASE A VARIABLE ANNUITY (ISSUED 12/15/10) WITH A DEATH BENEFIT OF $10,000, SHE WAS TOLD BY THE REGISTERED REP THAT THE DIVIDENDS WERE NOT SUFFICIENT TO COVER THE PREMIUMS ON THE

	OTHER LIFE CONTRACT. CUSTOMER ALLEGES VA WAS UNSUITABLE BECAUSE SHE LOST DEATH BENEFIT. RESEARCH REVEALED VA PRODUCT MET CUSTOMER'S STATED GOALS AND DISCLOSURE WAS PROVIDED. THRIVENT DENIED THE CUSTOMER'S REQUEST TO REVERSE THE TRANSACTION.
Product Type:	Annuity-Variable
Alleged Damages:	$8,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/15/2011
Complaint Pending?	No
Status:	Denied
Status Date:	06/15/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANAGEMENT
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION CONCERNING FEES/CHARGES WHEN EXCHANGING FUNDS OUTSIDE OF THRIVENT. CUSTOMER ALSO ALLEGES THAT THE REGISTERED REPRESENTATIVE DID NOT FOLLOW THROUGH ON PROVIDING MUTUAL FUND COMPARISONS AS REQUESTED. CUSTOMER REQUESTED ARBITRARY AMOUNT OF APPROXIMATELY $28,000.00. RESEARCH REVEALED NO WRONG DOING ON REGISTERED REPRESENTATIVES PART. AS A GOODWILL GESTURE WE SETTLED CLAIM FOR $28,337.69.
Product Type:	Mutual Fund(s)
Alleged Damages:	$28,000.00

Customer Complaint Information

Date Complaint Received:	07/03/2006
Complaint Pending?	No
Status:	Settled
Status Date:	08/14/2006
Settlement Amount:	$28,337.69
Individual Contribution Amount:	$0.00

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THRIVENT INVESTMENT MANGEMENT INC.
Allegations:	CUSTOMER'S DAUGHTER AND GUARDIAN ALLEGES THAT THE SALE OF A SINGLE PREMIUM IMMEDIATE ANNUITY AND A VARIABLE ANNUITY WAS SOLD UNDER EXTREMELY QUESTIONABLE CIRCUMSTANCES. SHE ALLEGES HER MOTHER WAS TAKEN ADVANTAGE OF. FIRM FOUND NO EVIDENCE OF WRONGDOING OR UNSUITABLE SALE BY REGISTERED REPRESENTATIVE.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	SINGLE PREMIUM IMMEDIATE ANNUITY
Alleged Damages:	$6,677.74

Customer Complaint Information

Date Complaint Received:	08/09/2004
Complaint Pending?	No
Status:	Denied
Status Date:	09/30/2004
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	THRIVENT INVESTMENT MANAGEMENT INC
Termination Type:	Discharged
Termination Date:	02/10/2011
Allegations:	RR WAS TERMINATED AFTER HE: ALLEGEDLY MISAPPROPRIATED CUSTOMER FUNDS (BELONGING TO HIS EX-WIFE) FROM A VARIABLE ANNUITY CONTRACT AFTER HIS OWNERSHIP INTEREST IN THIS CONTRACT HAD CEASED; REQUESTED MULTIPLE UNAUTHORIZED SUBACCOUNT TRANSFERS WITHIN THIS SAME CONTRACT; FAILED TO OBTAIN WRITTEN APPROVAL FOR AN OUTSIDE BUSINESS ACTIVITY (OBA) HE WAS ENGAGED IN; FAILED TO DISCLOSE THIS OBA ON HIS FORM U4; AND USED FIRM-OWNED RESOURCES FOR HIS PERSONAL BENEFIT IN SUPPORT OF THIS OBA.
Product Type:	Annuity-Variable

Reporting Source:	Individual
Firm Name:	THRIVENT INVESTMENT MANAGEMENT
Termination Type:	Discharged
Termination Date:	02/10/2011
Allegations:	RR WAS TERMINATED AFTER HE: ALLEGEDLY MISAPPROPRIATED CUSTOMER FUNDS (BELONGING TO HIS EX-WIFE) FROM A VA CONTRACT AFTER HIS OWNERSHIP INTEREST IN THIS CONTRACT HAD CEASED; HE REQUESTED MULTIPLE UNAUTHORIZED SUBACCOUNT TRANSFERS WITHIN THIS SAME CONTRACT; HE FAILED TO OBTAIN WRITTEN APPROVAL FOR AN OUTSIDE BUSINESS ACTIVITY (OBA) HE WAS ENGAGED IN; HE FAILED TO DISCLOSE THIS OBA ON HIS FORM U-4; AND HE USED FIRM-OWNED RESOURCES FOR HIS PERSONAL BENEFIT IN SUPPORT OF HIS OBA.
Product Type:	Annuity-Variable
Broker Statement	THE CONTRACT IN QUESTION WAS A TRADITIONAL IRA OWNED BY BRYON MEYER. THIS CONTRACT WAS AWARDED TO HIS EX WIFE IN THE DIVORCE, THE TRANSACTIONS IN QUESTION WERE REQUESTED PRIOR TO THE DIVORCE DECREE BEING SIGNED OR THE OWNERSHIP CHANGED TO THE EX WIFES NAME. BRYON MEYER ALSO HAD VERBAL APPROVAL FROM THRIVENT FINANCIAL FOR HIS OBA.

Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	THRIVENT INVESTMENT MANAGEMENT INC
Bonding Company Name:	FEDERAL INSURANCE / CONTINENTAL CASUALTY INSURANCE
Disposition:	Revoked
Disposition Date:	02/02/2011

End of Report

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