IAPD Report

Lafayette David Johnson

CRD# 4523821

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

Lafayette David Johnson (CRD# 4523821)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	08/31/2022
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	10/11/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	EQUITABLE ADVISORS, LLC	6627	RICHMOND, VA	12/08/2021 - 08/24/2022
B	NYLIFE SECURITIES LLC	5167	ATLANTA, GA	08/27/2019 - 01/03/2022
B	MML INVESTORS SERVICES, LLC	10409	Glen Allen, VA	07/06/2017 - 07/01/2019

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	2
Financial	2

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 **34** 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	08/31/2022
B	Alabama	Agent	Approved	01/06/2026
B	Arizona	Agent	Approved	05/18/2023
B	Arkansas	Agent	Approved	11/22/2024
B	California	Agent	Approved	12/15/2025
B	Colorado	Agent	Approved	12/02/2022
B	Connecticut	Agent	Approved	05/29/2024
B	Delaware	Agent	Approved	10/02/2024
B	District of Columbia	Agent	Approved	12/07/2022
IA	District of Columbia	Investment Adviser Representative	Approved	12/07/2022
B	Florida	Agent	Approved	12/06/2022
B	Georgia	Agent	Approved	01/11/2024
B	Illinois	Agent	Approved	08/02/2023

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	11/12/2024
B	Kentucky	Agent	Approved	04/28/2025
B	Maine	Agent	Approved	12/02/2022
B	Maryland	Agent	Approved	12/05/2022
B	Massachusetts	Agent	Approved	01/13/2023
B	Michigan	Agent	Approved	07/17/2023
B	Minnesota	Agent	Approved	06/11/2024
B	Mississippi	Agent	Approved	01/16/2024
B	New Hampshire	Agent	Approved	01/13/2023
B	New Jersey	Agent	Approved	03/22/2023
B	New Mexico	Agent	Approved	09/12/2025
B	New York	Agent	Approved	04/07/2026
B	North Carolina	Agent	Approved	12/02/2022
B	Ohio	Agent	Approved	12/16/2022
B	Oregon	Agent	Approved	08/12/2024
B	Pennsylvania	Agent	Approved	12/02/2022
B	Rhode Island	Agent	Approved	12/06/2022
B	South Carolina	Agent	Approved	06/15/2023
B	Tennessee	Agent	Approved	03/05/2024

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	01/09/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/09/2024
B	Virginia	Agent	Approved	10/11/2022
IA	Virginia	Investment Adviser Representative	Approved	10/11/2022
B	Washington	Agent	Approved	12/01/2022
B	West Virginia	Agent	Approved	03/04/2024

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
13356 Midlothian Turnpike
Midlothian, VA 23113

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/14/2022

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	09/22/2014
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/18/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/10/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/2003

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	12/08/2021 - 08/24/2022	EQUITABLE ADVISORS, LLC	CRD# 6627	RICHMOND, VA
B	08/27/2019 - 01/03/2022	NYLIFE SECURITIES LLC	CRD# 5167	ATLANTA, GA
B	07/06/2017 - 07/01/2019	MML INVESTORS SERVICES, LLC	CRD# 10409	Glen Allen, VA
B	12/12/2003 - 05/24/2017	NYLIFE SECURITIES LLC	CRD# 5167	GLEN ALLEN, VA
B	04/19/2002 - 10/24/2003	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	04/19/2002 - 10/24/2003	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

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
08/2022 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
08/2022 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Powhatan, VA, United States
12/2021 - 08/2022	Equitable Advisors	Registered Representative	Y	New York, NY, United States
08/2019 - 12/2021	NYLIFE Securities LLC	Registered Representative	Y	Atlanta, GA, United States
07/2019 - 12/2021	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	ATLANTA, GA, United States
07/2017 - 06/2019	MML Investors Services	Registered Representative	Y	RICHMOND, VA, United States
05/2017 - 06/2019	Mass Mutual Life Insurance Company	Agent	Y	GLEN ALLEN, VA, United States
11/2003 - 05/2017	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	RICHMOND, VA, United States
11/2003 - 05/2017	NYLIFE SECURITIES	AGENT	Y	RICHMOND, VA, 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.

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
Regulatory Event	1
Customer Dispute	2
Financial	2

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:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA, STATE CORPORATION COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	$500 FINE
Date Initiated:	02/06/2004
Docket/Case Number:	INS-2004-00002
Employing firm when activity occurred which led to the regulatory action:	MET LIFE
Product Type:	Insurance
Other Product Type(s):	
Allegations:	BUREAU OF INSURANCE ALLEGED VIOLATIONS OF SECTION 38.2-512 OF THE CODE OF VIRGINIA, AS WELL AS 14 VAC 5-30-40 BY MAKING FALSE STATEMENTS OR REPRESENTATIONS ON OR RELATIVE TO AN APPLICATION FOR AN INSURANCE POLICY FOR THE PURPOSE OF OBTAINING A FEE OR COMMISSION, AND BY COMPLETING CERTAIN APPLICATIONS FOR INSURANCE WITHOUT USING THE REPLACEMENT NOTICES AS REQUIRED OR NOTING ON THE APPLICATION THAT IT WAS A REPLACEMENT OF AN EXISTING POLICY.
Current Status:	Final
Resolution:	Settled

Resolution Date:	02/06/2004
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	$500 PAID TO VIRGINIA PRIOR TO ORDER. CEASE AND DESIST FROM ANY CONDUCT WHICH CONSTITUTES A VIOLATION OF SECTION 38.2-512 OF THE CODE OF VIRGINIA OR 14 VAC 5-30-40.
Broker Statement	WITHOUT ADMITTING ANY VIOLATION OF VIRGINIA LAW, MR. JOHNSON AGREED TO THE ENTRY OF A CEASE AND DESIST ORDER.

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	THE CUSTOMER ALLEGES THAT IN MARCH 2010, HE WAS PRESSURED TO PURCHASE A VARIABLE ANNUITY POLICY. THE CLIENT FURTHER ALLEGES THAT ALLOCATION OF THE FUNDS WAS INCONSISTENT WITH HIS INTENTIONS.
Product Type:	Annuity-Variable
Alleged Damages:	$6,817.29
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:	08/10/2010
Complaint Pending?	No
Status:	Settled
Status Date:	10/07/2010
Settlement Amount:	$5,925.91
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	CUSTOMER ALLEGES IN OR AROUND DECEMBER OF 2008, SHE DID NOT SIGN THE CERTIFICATE OF DEPOSIT/MUTUAL FUND REDEMPTION AND TRANSFER FORM.
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	01/16/2009

Complaint Pending?	No
Status:	Denied
Status Date:	02/11/2009
Settlement Amount:	
Individual Contribution Amount:	

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 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/08/2021
Organization Investment-Related?	
Type of Court:	MBA Law, The Law Offices of Mitchell D. Bluhm and Associates, LLC
Name of Court:	MBA Law, The Law Offices of Mitchell D. Bluhm and Associates, LLC
Location of Court:	Sherman, Texas
Docket/Case #:	22353491
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/08/2021
If a compromise with creditor, provide:	
Name of Creditor:	CF Medical, LLC
Original Amount Owed:	$1,663.00
Terms Reached with Creditor:	Settled for $998.

Disclosure 2 of 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/04/2021
Organization Investment-Related?	
Type of Court:	Capital Accounts, LLC
Name of Court:	Capital Accounts, LLC
Location of Court:	Franklin, Tennessee
Docket/Case #:	1781994
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/04/2021

If a compromise with creditor, provide:

Name of Creditor:	Capital Accounts, LLC
Original Amount Owed:	$620.00
Terms Reached with Creditor:	Settled for $480 payment in full.

End of Report

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