



## IAPD Report

# KENNETH NOAH HINRICHS

CRD# 4921542

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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

### KENNETH NOAH HINRICHS (CRD# 4921542)

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 **05/01/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	03/18/2005
<b>IA</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	05/27/2014

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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
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No information reported.

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?

**No**



## 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 5 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
	FINRA	General Securities Representative	Approved	03/18/2005
	Florida	Agent	Approved	05/01/2025
	Illinois	Agent	Approved	05/13/2021
	Michigan	Agent	Approved	06/15/2015
	Nevada	Agent	Approved	01/27/2017
	Wisconsin	Agent	Approved	04/15/2005
	Wisconsin	Investment Adviser Representative	Approved	05/27/2014

### Branch Office Locations

**THRIVENT INVESTMENT MANAGEMENT INC.**

40 W 6th Ave  
Oshkosh, WI 54902



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	03/17/2005

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	05/23/2014
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/14/2005



### 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:

No information reported.

### 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
05/2005 - Present	THRIVENT FINANCIAL FOR LUTHERANS	FINANCIAL ASSOCIATE	Y	APPLETON, WI, United States
02/2005 - Present	THRIVENT INVESTMENT MANAGEMENT INC.	REGISTERED REPRESENTATIVE	Y	OSHKOSH, WI, 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.

#### HINRICHS HOLDINGS LLC

POSITION: OWNER NATURE: Hinrichs Holdings LLC owns a building located at 40 W 6th Ave, Oshkosh WI, 54901. The building has two separate office spaces. One will be used for Thrivent Financial business and the other side will be available for use by external parties. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2019

ADDRESS: 3159 QUAIL RUN DR, OSHKOSH WI 54904, United States

DESCRIPTION: As the building manager, I will maintain the property and collect rent payments from any tenants.

#### HOOPER COMMUNITY CENTER INC.

POSITION: board member NATURE: To provide office space for charitable organizations meeting human service needs in the community. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 02/01/2022

ADDRESS: 36 Broad St, Oshkosh WI 54901, United States

DESCRIPTION: Meet quarterly to look at the organizations budget and activity; make adjustments as needed to keep the space functional for the community.

#### DEERTRACK AVIATION LLC

POSITION: Owner NATURE: I intend to purchase an LLC from my father-in-law that contains an airplane that I will continue to fly. He has owned the airplane for 10 years and I have flown it as a guest. By purchasing the LLC I will own both the LLC and the aircraft that is held inside it. The airplane will not be flown for commercial use or to make a profit. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2022

ADDRESS: 3159 Quail Run Dr, Oshkosh WI 54904, United States

DESCRIPTION: I will be flying the airplane for recreational usage. There will be 3-5 potential other pilots who may fly the airplane recreationally as well and they will pay for their own fuel and maintenance.

#### BOYS AND GIRLS CLUB OF OSHKOSH

POSITION: President and board member NATURE: I serve on the board to help lead the direction of the Boys and Girls Club.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This involves volunteering at events or sitting on various committees that organize events or fundraisers. I am not a treasurer. I am currently the 2nd Vice President and an active board member. I have no check-writing authority for any accounts. This board does not make investment related decisions for any of the organizations investment accounts. If in the future the board is asked to vote on investment related decisions I would abstain from voting. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 02/01/2025 ADDRESS: 501 E Parkway Ave, Oshkosh WI 54901, United States DESCRIPTION: Board President and Board members review the direction and management of the club and make decisions for the Club's best interest moving forward.



## End of Report

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