



IAPD Report

BRENT MICHAEL FASSETT

CRD# 5698669

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

BRENT MICHAEL FASSETT (CRD# 5698669)

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 **06/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	10/26/2009
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	12/19/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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
------	------	----------	--------------------

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?

Yes

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



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 **14** 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	10/26/2009
B	Alaska	Agent	Approved	06/07/2021
B	Arizona	Agent	Approved	08/06/2012
B	California	Agent	Approved	06/04/2021
B	Georgia	Agent	Approved	03/24/2023
B	Illinois	Agent	Approved	07/22/2014
B	Iowa	Agent	Approved	09/06/2018
B	Minnesota	Agent	Approved	10/26/2009
IA	Minnesota	Investment Adviser Representative	Approved	12/19/2013
B	Montana	Agent	Approved	01/02/2020
B	North Carolina	Agent	Approved	03/31/2014
B	North Dakota	Agent	Approved	08/06/2012
B	South Dakota	Agent	Approved	06/02/2015



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	01/19/2024
B Utah	Agent	Approved	02/19/2014
B Wisconsin	Agent	Approved	08/06/2012

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
800 MINNESOTA AVE
WALKER, MN 56484

THRIVENT INVESTMENT MANAGEMENT INC.
14391 EDGEWOOD DR
BAXTER, MN 56425



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 1 state securities law exam.

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	10/23/2009

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/30/2009



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:

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
11/2009 - Present	THRIVENT FINANCIAL FOR LUTHERANS	FINANCIAL REPRESENTATIVE	Y	APPLETON, WI, United States
08/2009 - Present	THRIVENT INVESTMENT MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	BAXTER, 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.

PRINCE OF PEACE EVANGELICAL LUTHERAN CHURCH

POSITION: Elder NATURE: A congregation with the goal of sharing God's word with each other and to share the Gospel with our community. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2021

ADDRESS: 6311 Mildred Rd, Baxter MN 56425, United States

DESCRIPTION: My responsibility is to assist the Pastor of our church with spiritual leadership. This means to be a sounding board for challenges as well as successes he is having. Also I assist in the services of our church every three months by doing ushering duties and occasionally assisting in distributing communion.

LUTHERAN ISLAND CAMP & CHRIST SERVE RANCH

POSITION: Board Member / Vice Chair NATURE: Lutheran Island Camp and Christ Serve Ranch are joint ministries sharing one board whose mission it is to operate facilities and summer camp programming for youth ranging from preschool through high school, with a particular focus on sharing the Gospel with guests and campers.

The goal of Christ Serve Ranch is to share a message of caring for God's creation and to educate guests and others about God's role in the environment and our relation to it. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 1 START DATE: 04/06/2020

ADDRESS: 45011 230th St, Henning MN 56551, United States

DESCRIPTION: My duties will be to serve on the Camp board, and to provide guidance on the opportunities and challenges the camp is faced with. I will participate in board meetings quarterly during business hours, but the remainder of my duties will be responding to emails and sharing opinions and guidance along with other board members. Additionally, I have been asked to serve as Vice-Chair of the Board of Directors. My additional duties would be 2-5 hours of volunteer time per quarter in preparation for and follow up after our quarterly meetings. These hours will be spent coordinating with and learning from our Executive Director and other Board members in the performance of their duties. I may have responsibilities in assisting the camp's Board of Directors making simple decisions regarding cash flow, such as which bank account (non-Thrivent) to use, etc, or debts to consider. As it relates to business matters, the board recognizes that at most, I am able to provide broad education on issues relating to investment management, protection planning and executive compensation, etc. I would recuse myself from votes on any investment or related decisions. I will not be serving the Board nor the Camp as their financial advisor in any way.



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

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:	Minnesota Department of Commerce - Insurance Commission
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/22/2019
Docket/Case Number:	59206
Employing firm when activity occurred which led to the regulatory action:	Thrivent Investment Management, Inc.
Product Type:	No Product
Allegations:	I certified my compliance with insurance producer continuing education requirements at the time of my license renewal before I actually completed all of the required continuing education credits.
Current Status:	Final
Resolution:	Consent
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:	08/30/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 08/30/2019

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

I mistakenly represented the completion of my insurance CE credits before filing my license renewal, so I was late in completing the requirements. I subsequently received a consent letter and civil penalty from the state, which I have signed and paid.



End of Report

This page is intentionally left blank.