User Guidance

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IAPD Report

CHRISTOPHER WILLIAM SEABROOK

CRD# 5981660

Section Title | **Page(s)**

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

CHRISTOPHER WILLIAM SEABROOK (CRD# 5981660)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	04/06/2023
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	06/02/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	COUNTRY CAPITAL MANAGEMENT COMPANY	12060	Atlanta, GA	10/29/2013 - 03/30/2023
B	NYLIFE SECURITIES LLC	5167	ATLANTA, GA	11/30/2011 - 10/25/2013

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
Judgment/Lien	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 **33** 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	Invest. Co and Variable Contracts	Approved	04/06/2023
B	FINRA	General Securities Representative	Approved	05/03/2023
B	Alabama	Agent	Approved	06/12/2023
B	Arizona	Agent	Approved	03/07/2025
B	California	Agent	Approved	07/17/2023
B	Colorado	Agent	Approved	07/17/2023
B	Connecticut	Agent	Approved	07/17/2023
B	Delaware	Agent	Approved	10/07/2024
B	District of Columbia	Agent	Approved	08/30/2023
IA	District of Columbia	Investment Adviser Representative	Approved	09/05/2023
B	Florida	Agent	Approved	06/12/2023
B	Georgia	Agent	Approved	04/06/2023
IA	Georgia	Investment Adviser Representative	Approved	06/02/2023

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	07/17/2023
B	Illinois	Agent	Approved	09/21/2023
B	Indiana	Agent	Approved	09/13/2023
B	Kentucky	Agent	Approved	08/30/2023
B	Louisiana	Agent	Approved	02/06/2025
B	Maryland	Agent	Approved	08/05/2024
B	Massachusetts	Agent	Approved	08/11/2023
B	Michigan	Agent	Approved	07/17/2023
B	Minnesota	Agent	Approved	06/11/2024
B	Missouri	Agent	Approved	10/31/2023
B	Nebraska	Agent	Approved	09/13/2023
B	New Jersey	Agent	Approved	07/17/2023
B	New York	Agent	Approved	07/17/2023
B	North Carolina	Agent	Approved	08/30/2023
B	Ohio	Agent	Approved	06/27/2023
B	Oklahoma	Agent	Approved	06/12/2023
IA	Oklahoma	Investment Adviser Representative	Approved	06/12/2023
B	Pennsylvania	Agent	Approved	07/17/2023
B	South Carolina	Agent	Approved	07/17/2023

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	06/12/2023
B	Texas	Agent	Approved	08/30/2023
IA	Texas	Investment Adviser Representative	Approved	08/30/2023
B	Utah	Agent	Approved	03/04/2025
B	Virginia	Agent	Approved	06/11/2024
B	Washington	Agent	Approved	07/17/2023
B	Wisconsin	Agent	Approved	07/17/2023

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
200 Galleria Pkwy SE
Atlanta, GA 30339

THRIVENT INVESTMENT MANAGEMENT INC.
Conyers, GA

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	General Securities Representative Examination (S7TO)	Series 7TO	05/03/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/29/2011

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/30/2023
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/05/2012

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	10/29/2013 - 03/30/2023	COUNTRY CAPITAL MANAGEMENT COMPANY	CRD# 12060	Atlanta, GA
B	11/30/2011 - 10/25/2013	NYLIFE SECURITIES LLC	CRD# 5167	ATLANTA, GA

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
04/2023 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
04/2023 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Atlanta, GA, United States
01/2023 - 03/2023	COUNTRY TRUST BANK	FINANCIAL ADVISOR	Y	ALPHARETTA, GA, United States
10/2013 - 03/2023	COUNTRY CAPITAL MANAGEMENT COMPANY	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
10/2013 - 03/2023	COUNTRY INSURANCE AFFILIATES	INSURANCE AGENT	Y	ALPHARETTA, GA, 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.

DELTA AIR LINES
POSITION: Ramp Agent/ Wellbeing Champion NATURE: Delta Air Linesprovides scheduled air transportation for passengers and cargo. INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 01/31/2022
ADDRESS: 1030 Delta Blvd, Atlanta GA 30320, United States
DESCRIPTION: I assist with disseminating information to below wing employees (ramp agents), guide below wing employees to resources on Delta's intranet,help promote new initiatives, act as a liaison between employees and management and make sure there is a general understanding of the tools that Delta provides to assist with healthy work life balance.

STONECREST DEVELOPMENT AUTHORITY
POSITION: Vice Chairperson NATURE: The Stonecrest Development Authority is tasked withTo develop and promote for the public good and general welfare, trade, commerce, industry, and employment opportunities in the City in accordance with the Development Authority Law?.To encourage cooperation among economic development organizations within the City?.To exercise all the powers granted to a development authority pursuant to the provisions of the Development Authority's Law?. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/08/2023
ADDRESS: 3120 Stonecrest Blvd #190, Stonecrest GA 30038, United States
DESCRIPTION: Assist the board chairperson with running meetings, run meetings in the absence of the chairperson and review

Registration & Employment History

OTHER BUSINESS ACTIVITIES

meeting agenda items for each meeting.

CML SQUARED, LLC
POSITION: co-owner NATURE: CML Squared will be a management consulting company create to pursue government contracts.
INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2024
ADDRESS: 3673 Bayberry Way SW, Conyers GA 30094, United States
DESCRIPTION: I will be responsible for assisting with contract review and identifying some of the contracts that the company will pursue.

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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of Georgia
Judgment/Lien Amount:	$7,643.32
Judgment/Lien Type:	Tax
Date Filed with Court:	11/22/2024
Date Individual Learned:	02/03/2025
Type of Court:	State Court
Name of Court:	DeKalb County
Location of Court:	DeKalb County
Docket/Case #:	BK2796PG176
Judgment/Lien Outstanding?	Yes
Broker Statement	The notification from FINRA is the first that I've heard about a lien. I do currently have a debt for GA taxes that had a payment arrangement to pay the amount owed in full. My last communication from the DOR was on January 23rd showing an updated balance for this debt with no mention of a tax lien. However, I was able to locate the lien in the DOR database, showing that the lien was filed in November. I am working to get this paid off and removed as quickly as possible.

End of Report

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