



IAPD Report

JAMES DAVID MCNAUGHTON

CRD# 6082816

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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

JAMES DAVID MCNAUGHTON (CRD# 6082816)

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 **07/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	03/23/2015
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	08/11/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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? **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 **26** 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	03/23/2015
B	FINRA	General Securities Representative	Approved	06/17/2021
B	Arizona	Agent	Approved	06/28/2021
B	California	Agent	Approved	01/05/2024
B	Colorado	Agent	Approved	03/09/2020
B	Connecticut	Agent	Approved	05/12/2015
B	District of Columbia	Agent	Approved	02/23/2026
IA	District of Columbia	Investment Adviser Representative	Approved	02/23/2026
B	Florida	Agent	Approved	07/15/2016
B	Indiana	Agent	Approved	07/23/2025
B	Maine	Agent	Approved	07/15/2016
B	Maryland	Agent	Approved	06/22/2021
B	Massachusetts	Agent	Approved	04/06/2015



Qualifications

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	08/11/2020
B	Minnesota	Agent	Approved	04/21/2025
B	Missouri	Agent	Approved	03/09/2022
B	New Hampshire	Agent	Approved	05/12/2015
B	New Jersey	Agent	Approved	10/22/2020
B	New York	Agent	Approved	10/22/2020
B	North Carolina	Agent	Approved	10/22/2020
B	Ohio	Agent	Approved	03/10/2024
B	Oklahoma	Agent	Approved	01/08/2024
IA	Oklahoma	Investment Adviser Representative	Approved	01/08/2024
B	Pennsylvania	Agent	Approved	02/16/2018
B	Rhode Island	Agent	Approved	05/12/2015
B	South Carolina	Agent	Approved	01/11/2024
B	Texas	Agent	Approved	02/05/2016
IA	Texas	Investment Adviser Representative	Approved	08/12/2020
B	Vermont	Agent	Approved	06/22/2021
B	Virginia	Agent	Approved	06/23/2021
B	West Virginia	Agent	Approved	10/22/2020
B	Wisconsin	Agent	Approved	08/22/2019



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
3 Allied Dr
Dedham, MA 02026

THRIVENT INVESTMENT MANAGEMENT INC.
Newton, MA



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	General Securities Representative Examination (S7TO)	Series 7TO	06/17/2021
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/23/2015

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	07/02/2020
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/02/2015

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
06/2015 - Present	THRIVENT FINANCIAL	FINANCIAL ASSOCIATE	Y	APPLETON, WI, United States
02/2015 - Present	THRIVENT INVESTMENT MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	Dedham, MA, 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.

URBAN ISLANDS PROJECT

POSITION: BOARD OF DIRECTORS NATURE: I SERVE AS A BOARD MEMBER OF THE URBAN ISLANDS PROJECT, AN ORGANIZATION DEVOTED TO DEVELOPING NEW CHURCHES / FAITH COMMUNITIES IN STRATEGIC URBAN CENTERS THROUGHOUT THE UNITED STATES. INVESTMENT RELATED: NO NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2014
ADDRESS: 1850 BASSETT STREET, DENVER CO 80202
DESCRIPTION: HELP SHAPE THE STRATEGY, AND PROVIDED ACCOUNTABILITY FOR THE DIRECTOR. PERIODICALLY I AM ASKED TO PROVIDE PRESENTATIONS ON BEHALF OF URBAN ISLANDS.

NORTH TEXAS DISTRICT OF THE ASSEMBLIES OF GOD

POSITION: LEADERSHIP COACH NATURE: MY OUTSIDE BUSINESS IS LEADERSHIP, EXECUTIVE AND ORGANIZATIONAL COACHING. THE FOCUS OF THIS ACTIVITY IS TO HELP LEADERS AND THE ORGANIZATIONS THAT THEY LEAD, TO MOVE FORWARD STRATEGICALLY TOWARD THEIR GOALS. I AM A MEMBER OF THE INTERNATIONAL COACH FEDERATION (ICF). AS A MEMBER OF ICF, I ADHERE TO ITS STANDARD OF COMPETENCIES AND ETHICS. I WORK PRIMARILY WITH CHURCH LEADERS AND LEADERS OF CHARITABLE ORGANIZATIONS. INVESTMENT RELATED: NO NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2013
ADDRESS: 5241 FM 66, P.O. BOX 838, WAXAHACHIE TX 75167
DESCRIPTION: DUTIES INCLUDE: COACHING AND STRATEGIC / TACTICAL THOUGHT PARTNERSHIP. PUBLIC SPEAKING: AS A PART OF MY DUTIES AS A COACH, I AM ASKED TO PROVIDE A CONSULTATION AND PRESENTATION A A SUNDAY MORNING WORSHIP GATHERING IN THE LOCAL CHURCHES OF THE LEADERS WHO ARE BEING COACHING.

THE LINK CHURCH

POSITION: Pastor NATURE: I serve as a pastor and the directional leader of The Link Church. INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2017
ADDRESS: P.O. Box 320380, Boston MA 02132
DESCRIPTION: I provide coaching and consultation for the leadership team. I provide sermons /or teachings at regular church



Registration & Employment History



OTHER BUSINESS ACTIVITIES

services.

ASSEMBLIES OF GOD MISSIONS

POSITION: Leadership Coach NATURE: My outside business is Leadership, Executive and Organizational Coaching with ministers and ministry leaders. The focus of this activity is to help leaders and the organizations that they lead, to move forward strategically toward their goals. I am a member of the International Coach Federation (ICF). As a member of ICF, I adhere to its standard of competencies and ethics. I work primarily with Church Leaders and leaders of charitable organizations.

INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2013

ADDRESS: 1445 N Boonville Ave, Springfield MO 65802, United States

DESCRIPTION: Duties include:- coaching and strategic / tactical thought partnership.-public speaking: as a part of my duties as a coach, I am asked to provide a consultation and presentation at a Sunday morning worship gathering in the local churches of the leaders who are being coached.



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:	Cavalry Portfolio Services, LLC as successor in interest to Citibank, N.A.
Judgment/Lien Amount:	\$12,109.08
Judgment/Lien Type:	Civil
Date Filed with Court:	10/09/2019
Date Individual Learned:	01/04/2020
Type of Court:	State Court
Name of Court:	Newtown District Court for the State of Massachusetts
Location of Court:	1309 Washington Street West Newton, MA 02465
Docket/Case #:	1912CV000096
Judgment/Lien Outstanding?	Yes

Broker Statement

I did not realize this was a reportable event because it involved a minor late payment issue on a credit card that stemmed from health issues that were caused by major medical events that was going to be resolved with a payments. However, significant economic events overtook this plan. The mitigating circumstances involved a significant decrease in business during the Covid-19 Pandemic and the prioritization of paying basic needs like food and housing. This matter was recently resolved on April 13, 2021 with a payment plan that will become effective on May 1st, 2021. The payment plan will include \$500 monthly payments over the next 24 months starting on May 1st, 2021.



End of Report

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