



## IAPD Report

**RAMIRO PAZ**

CRD# 6493139

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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

### RAMIRO PAZ (CRD# 6493139)

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 **03/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	08/31/2015
<b>IA</b>	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	09/01/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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 **4** 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>B</b>	FINRA	General Securities Representative	Approved	08/31/2015
<b>B</b>	Georgia	Agent	Approved	11/22/2024
<b>B</b>	Illinois	Agent	Approved	11/22/2024
<b>B</b>	Missouri	Agent	Approved	10/18/2023
<b>B</b>	Wisconsin	Agent	Approved	09/01/2015
<b>IA</b>	Wisconsin	Investment Adviser Representative	Approved	09/01/2015

### Branch Office Locations

**THRIVENT INVESTMENT MANAGEMENT INC.**  
411 North River Road  
WEST BEND, WI 53090

**THRIVENT INVESTMENT MANAGEMENT INC.**  
Jackson, WI



## 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
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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	08/31/2015

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	08/06/2015



### 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
11/2015 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
07/2015 - Present	THRIVENT INVESTMENT MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	WEST BEND, 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.

#### VOLUNTEER CENTER OF WASHINGTON COUNTY

POSITION: Board Member NATURE: Mission is to inspire, engage, and empower people to volunteer and make a positive impact in our communities. Vision is every person discovers the power to make a difference through volunteerism, improving their own lives as well as the people who are served in our communities. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2024 ADDRESS: 303 Water St, West Bend WI 53095, United States DESCRIPTION: Attend board, strategy and committee meetings. Attend fundraisers and other activities. Share my time, energy and focus on assisting with the oversight of the organization's resources and guardian of its mission and values.

#### KETTLE MORAINÉ LUTHERAN JUNIOR CHARGER

POSITION: Director Emeritus NATURE: Junior Chargers Athletics operate under several core "pillars" which are meant to provide an intentional operational structure for the program and participants. Program structured to provide exceptional intellectual, emotional, physical, and spiritual growth opportunities for participating grade school youth. Programled by servant-leader Christian director and coaches. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2021 ADDRESS: 3399 Division Road, Jackson WI 53037, United States DESCRIPTION: Assist new Program Director in all of my past duties as Director.

#### KETTLE MORAINÉ YMCA

POSITION: Board & Committee Member NATURE: The Kettle Moraine YMCA is a nonprofit organization whose mission is to put Christian principles into practice through programs that build healthy spirit, mind, and body for all. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 1 START DATE: 03/28/2019 ADDRESS: 1111 West Washington Street, West Bend WI 53095, United States DESCRIPTION: To share my time, energy and focus on strengthening our communities through assisting with the oversight of the organization's resources and guardian of its mission. I will be attending board and committee meetings, helping invite people and planning certain events and fundraisers.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### VILLAGE OF JACKSON

POSITION: Poll Worker NATURE: Elections Worker - Learn and assist as needed to ensure we have accurate, efficient, and accessible elections. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 02/05/2024

ADDRESS: N168 W19851 Main Street, Jackson WI 53037, United States

DESCRIPTION: Sworn election official who takes oath of office and receive trainings with the purpose of ensuring voting goes smoothly on Election Day and all eligible voters can cast a ballot. My plan is to only assist with bigger elections that more staff is needed by the Village of Jackson.



## End of Report

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