IAPD Report

Simon M Fisher

CRD# 7752693

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

Simon M Fisher (CRD# 7752693)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	02/29/2024
IA	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	03/04/2024

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
IA	KEYES, STANGE & WOOTEN WEALTH MANAGEMENT, LLC	139806	PALM COAST, FL	08/24/2023 - 10/02/2023

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 **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	02/29/2024
B	California	Agent	Approved	11/12/2024
B	Colorado	Agent	Approved	09/16/2024
B	Florida	Agent	Approved	03/01/2024
IA	Florida	Investment Adviser Representative	Approved	03/04/2024
B	Georgia	Agent	Approved	03/23/2026
B	Maryland	Agent	Approved	01/12/2026
B	Minnesota	Agent	Approved	03/15/2024
B	New Jersey	Agent	Approved	07/14/2025
B	North Carolina	Agent	Approved	03/23/2026
B	North Dakota	Agent	Approved	03/21/2024
B	Ohio	Agent	Approved	03/03/2026
B	Pennsylvania	Agent	Approved	03/03/2026

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	03/23/2026
B	Tennessee	Agent	Approved	09/12/2025
B	Texas	Agent	Approved	03/25/2024
IA	Texas	Investment Adviser Representative	Approved	03/25/2024

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
1366 N US Highway 1
Ormond Beach, FL 32174

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	02/29/2024
B	Securities Industry Essentials Examination (SIE)	SIE	12/18/2023

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/2023
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/07/2023

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

User Guidance

www.adviserinfo.sec.gov

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/24/2023 - 10/02/2023	KEYES, STANGE & WOOTEN WEALTH MANAGEMENT, LLC	CRD# 139806	PALM COAST, FL

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
07/2024 - Present	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
12/2023 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
01/2024 - 07/2024	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
05/2023 - 09/2023	Keyes Stange & Wooten Wealth Management, Llc	Customer Services Associate	Y	Daytona Beach, FL, United States
12/2022 - 03/2023	Built Technologies	Product Manager	N	Nashville, TN, United States
09/2019 - 11/2022	Computer Services Inc.	Product Manager Digital Lending	N	Paducah, KY, United States
04/2018 - 09/2019	The Copper River Group	Vp Consulting Practice	N	Fargo, ND, United States
03/2013 - 04/2018	First International Bank And Trust	Retail Banking Supervisor	N	Williston, ND, 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.

ANYWHERE INC. DBA CRUISE BROTHERS
POSITION: Associate Agent NATURE: I joined Cruise Brothers to book cruises and additional travel as an agent and receive a commission. To date, I have only booked cruises for myself however I could book them for someone else as an agent. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2023
ADDRESS: 820 Bald Hill Road, Warwick RI 02886, United States
DESCRIPTION: I have no responsibilities to the organization

SOUTH DAYTONA LIONS CLUB
POSITION: Director NATURE: Lions Club International is a service organization dedicated to serving their communities. Lions Club International serves communities in over 200 countries and geographical areas around the world. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 06/09/2024

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 968 Reed Canal Rd, South Daytona FL 32119, United States
DESCRIPTION: Serve on the board of directors, attend meetings as needed, provide input on direction of club

INTELLIGENT PROSPECT LLC
POSITION: Owner NATURE: Intelligent Prospect LLC is a technology company that develops and operates software tools designed to help businesses improve outreach and communication with prospective clients. The company focuses on software development and digital engagement solutions and does not provide investment, insurance, or financial advisory services.
INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 03/06/2026
ADDRESS: 1401 S Palmetto Ave #309, Daytona Beach FL 32114, United States
DESCRIPTION: I own and oversee the operations of the company, including software development direction, vendor relationships, and general business administration. My responsibilities are limited to managing the technology platform and business operations and do not involve providing financial, investment, or insurance-related services.

End of Report

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