

BrokerCheck Report

Mary C Abundo

CRD# 1246048

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



Mary C. Abundo

CRD# 1246048

Currently employed by and registered with the following Firm(s):

IA

THRIVENT ADVISOR NETWORK, LLC

Redondo Beach, CA

CRD# 304569

Registered with this firm since: 10/26/2021

B

THRIVENT INVESTMENT MANAGEMENT INC.

600 Portland Ave S

MINNEAPOLIS, MN 55415

CRD# 18387

Registered with this firm since: 09/19/2024

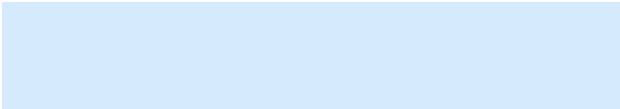
Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory



This broker has passed:

- 0 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA

COUNTERPOINT ASSET MANAGEMENT LLC

CRD# 164291

SAN DIEGO, CA

07/2018 - 03/2022
- B

NORTHERN LIGHTS DISTRIBUTORS, LLC

CRD# 126159

ELKHORN, NE

10/2018 - 10/2021
- IA

KESTRA PRIVATE WEALTH SERVICES, LLC

CRD# 155193

AUSTIN, TX

02/2014 - 11/2017

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? Yes

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **THRIVENT ADVISOR NETWORK, LLC**
Main Office Address: **600 PORTLAND AVENUE SOUTH
MINNEAPOLIS, MN 55415**
Firm CRD#: **304569**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	10/26/2021

Branch Office Locations

600 PORTLAND AVENUE SOUTH
MINNEAPOLIS, MN 55415

Redondo Beach, CA

Employment 2 of 2

Firm Name: **THRIVENT INVESTMENT MANAGEMENT INC.**
Main Office Address: **600 PORTLAND AVENUE SOUTH
MINNEAPOLIS, MN 55415**
Firm CRD#: **18387**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/19/2024

Branch Office Locations

Broker Qualifications



Employment 2 of 2, continued

THRIVENT INVESTMENT MANAGEMENT INC.

600 Portland Ave S
MINNEAPOLIS, MN 55415



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 5 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	Series 7TO	03/18/2024
B Securities Industry Essentials Examination	SIE	01/31/2017
B General Securities Representative Examination	Series 7	02/10/1998
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/04/1989
B Direct Participation Programs Representative Examination	Series 22	03/22/1984

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/28/2004
IA Uniform Investment Adviser Law Examination	Series 65	06/01/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 07/2018 - 03/2022	COUNTERPOINT ASSET MANAGEMENT LLC	164291	Redondo Beach, CA
B 10/2018 - 10/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE
IA 02/2014 - 11/2017	KESTRA PRIVATE WEALTH SERVICES, LLC	155193	WOODLAND HILLS, CA
B 02/2014 - 01/2017	KESTRA INVESTMENT SERVICES, LLC	42046	WOODLAND HILLS, CA
B 09/2012 - 08/2013	CETERA INVESTMENT SERVICES LLC	15340	EL SEGUNDO, CA
B 08/2012 - 08/2013	CETERA FINANCIAL SPECIALISTS LLC	10358	EL SEGUNDO, CA
B 10/2004 - 08/2013	CETERA ADVISORS LLC	10299	EL SEGUNDO, CA
B 01/2004 - 08/2013	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA
B 10/2004 - 07/2011	ING FINANCIAL PARTNERS, INC.	2882	EL SEGUNDO, CA
B 05/1999 - 10/2003	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B 02/1998 - 06/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 03/1989 - 11/1989	AMEV INVESTORS, INC.	421	OAKDALE, MN
B 11/1988 - 05/1989	BICO SECURITIES, INC.	17223	
B 08/1986 - 02/1987	CENTRAL SECURITIES, INC.	17791	
B 03/1986 - 09/1986	SHUMAN, ORTH & COMPANY, INC.	8530	
B 03/1984 - 08/1984	ANGELES SECURITIES CORPORATION	8083	

Employment History



Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2024 - Present	Thrivent Financial	Corporate Employee Licensed	Y	Appleton, WI, United States
09/2024 - Present	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
10/2021 - Present	Thrivent Advisor Network, LLC	Senior Operations Specialist	Y	Redondo Beach, CA, United States
09/2018 - 10/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
03/2018 - 10/2021	COUNTERPOINT MUTUAL FUNDS, LLC	INTERNAL SUPPORT - SALES	Y	SAN DIEGO, CA, United States
03/2017 - 02/2018	MONOGRAPH WEALTH ADVISORS, LLC	CLIENT SERVICE	Y	EL SEGUNDO, CA, United States
09/2013 - 03/2017	KESTRA PRIVATE WEALTH SERVICES, LLC	RELATIONSHIP MANAGER	Y	WOODLAND HILLS, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC
Allegations:	CLAIMANT ALLEGES THAT FROM DECEMBER 1998 THROUGH JULY 2000, THERE WERE UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS MADE IN HER IRA ACCOUNT, DISTRIBUTIONS WERE MADE FROM HER IRA ACCOUNT TO A THIRD-PARTY WITHOUT HER CONSENT AND WACHOVIA FAILED TO SUPERVISE SALES ASSISTANT ABUNDO. CLAIMED DAMAGES ARE ALLEGED TO BE IN EXCESS OF \$750,000 BUT LESS THAN \$1,000,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$750,000.00

Customer Complaint Information

Date Complaint Received:	02/07/2005
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 05-00378

Date Notice/Process Served: 02/07/2005

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 04/28/2006

Firm Statement CIVIL LITIGATION FILED IN ERROR. THIS IS AN ARBITRATION FILED ON 02/07/05. RESPONDENT MARY ABUNDO WAS DISMISSED BY CLAIMANT WITHOUT PREJUDICE.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN THEIR ACCOUNT.

Product Type: Other

Other Product Type(s): MISCELLANEOUS

Alleged Damages: \$750,000.00

Customer Complaint Information

Date Complaint Received: 02/07/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 05-00378



Date Notice/Process Served: 02/07/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/01/2005

Monetary Compensation Amount: \$18,333.00

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS SETTLED DURING MEDIATION.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRIL LYNCH, WACHOVIA SECURITIES

Allegations: CLAIMANT ALLEGES THAT FROM 12/98 TO 7/00, THERE WERE UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS MADE IN HER IRA ACCOUNT, DISTRIBUTIONS MADE TO THIRD PARTY W/O CONSENT AND FAILURE TO SUPERVISE SALES ASSISTANT (ABUNDO). DAMAGES ALLEGED TO BE IN EXCESS OF \$750,000 BUT LESS THAN \$1MM

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$750,000.00

Customer Complaint Information

Date Complaint Received: 02/07/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO 05-00378



Date Notice/Process Served:	02/07/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/01/2005
Monetary Compensation Amount:	\$18,333.00
Individual Contribution Amount:	\$0.00
Broker Statement	CIVIL LITIGATION FILE IN ERROR. THIS IS AN ARBITRATION FILED ON 2/7/05.

End of Report



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