

BrokerCheck Report

RICHARD JOSEPH KIRCHOFF

CRD# 5464608

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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:
 - o 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
 - o 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.

RICHARD J. KIRCHOFF

CRD# 5464608

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

IA THRIVENT INVESTMENT MANAGEMENT INC.
 16151 MAIN AVE SE
 PRIOR LAKE, MN 55372
 CRD# 18387
 Registered with this firm since: 12/19/2013

B THRIVENT INVESTMENT MANAGEMENT INC.
 16151 MAIN AVE SE
 PRIOR LAKE, MN 55372
 CRD# 18387
 Registered with this firm since: 02/05/2008

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
- 10 U.S. states and territories

This broker has passed:

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

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

No information reported.

**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
Criminal	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 10 U.S. states and territories through his or her employer.

Employment 1 of 1

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	02/05/2008

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/26/2019
B	Florida	Agent	Approved	02/01/2016
B	Georgia	Agent	Approved	10/07/2020
B	Maryland	Agent	Approved	03/11/2020
B	Minnesota	Agent	Approved	04/18/2008
IA	Minnesota	Investment Adviser Representative	Approved	12/19/2013
B	Montana	Agent	Approved	01/26/2023
B	North Carolina	Agent	Approved	11/26/2019
B	North Dakota	Agent	Approved	08/01/2023
B	Texas	Agent	Approved	08/30/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	08/25/2016
B	Wisconsin	Agent	Approved	08/09/2013

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

THRIVENT INVESTMENT MANAGEMENT INC.
16151 MAIN AVE SE
PRIOR LAKE, MN 55372



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/30/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/16/2008

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
No information reported.			

Employment History

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
01/2008 - Present	THRIVENT FINANCIAL FOR LUTHERANS	FINANCIAL REPRESENTATIVE	Y	APPLETON, WI, United States
12/2007 - Present	THRIVENT INVESTMENT MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	PRIOR LAKE, MN, 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.

16151 LLC

POSITION: Part owner NATURE: LLC was established for office building that we work in, and currently have outside tenants renting.

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/02/2014

ADDRESS: 16151 Main Ave SE, Prior Lake MN 55372, United States

DESCRIPTION: pay billss associated with running the business and maintain or find contractors to maintain space

KIRCHOFF CONSULTING, LLC

POSITION: owner NATURE: needed to set up an LLC for my 1099 income as I would like to place funds from this income into a SEP for retirement. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/30/2023

ADDRESS: 9427 Elm Court, Prior Lake MN 55372, United States

DESCRIPTION: this is only an LLC to set up my SEP account, also I snowplow the business parking lot ONLY. I own the building with the 16151 Main Ave LLC (also listed on my OBA) the only business I snowplow is our parking lot. This save our business money and due to taxes, I have to submit the costs of the business to this LLC as well.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Criminal	0	1	0



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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	NOT AGAINST AN ORGANIZATION
Court Details:	CASE NUMBER CR93-0166-A STATE OF TEXAS VS RICHARD JOSEPH KIRCHOFF. SAN ANGELO, TX TOM GREEN COUNTY FORMAL CHARGE "INTERFERENCE WITH CHILD CUSTODY"
Charge Date:	03/16/1993
Charge Details:	A FELONY WARRANT FOR MY ARREST WAS ISSUED IN TEXAS WHILE I WAS LIVING IN MINNESOTA. MY EX-WIFE HAD CHARGES BROUGHT ON ME FOR HAVING MY 5 YEAR OLD SON OUTSIDE THE DIVORCE CUSTODY AGREEMENT, "INTERFERENCE WITH CHILD CUSTODY". I WAS NOT AWARE OF THE CHARGE UNTIL A BACKGROUND CHECK WAS DONE ON ME FOR A LAW ENFORCEMENT POSITION, THREE MONTHS AFTER THE WARRANT WAS ISSUED. ONCE I WAS AWARE OF THE CHARGES I CONTACTED AN ATTORNEY AND FLEW DOWN TO SAN ANGELO, TX TO TURN MYSELF IN AND FOUGHT THE CHARGES. I TURNED MYSELF INTO THE COUNTY JAIL AND WAS FINGER PRINTED AND RELEASED WITHIN 10 MINUTES. ONCE MY ATTORNEY HAD ALL OF THE DETAILS HE PRESENTED THEM TO THE DISTRICT ATTORNEY AND THE JUDGE IN THE CASE. WITH THE EVIDENCE WE PRESENTED, THE CASE WAS DROPPED AND DISMISSED FROM THE COURT. THE CASE WAS NEVER BROUGHT INTO A COURT



ROOM AND THE DISTRICT ATTORNEY HAD ALL CHARGES DISMISSED. I DID NOTHING WRONG. MY EX-WIFE SET THE WHOLE THING UP TO TRY TO DISCREDIT ME AS A PARENT AND GAIN FULL

Felony?

Yes

Current Status:

Final

Status Date:

10/28/1993

Disposition Details:

"INTERFERENCE WITH CHILD CUSTODY" DISMISSED 10/28/1993

Broker Statement

I HAD A VERY MESSY AND UGLY DIVORCE WHICH INVOLVED A SMALL CHILD. I ALSO FOUGHT FOR FULL CUSTODY OF MY SON TWICE AND DID NOT WIN DURING THIS TIME. MY EX-WIFE LIVED IN TEXAS AND I HAD MOVED BACK TO MINNESOTA. MY EX-WIFE WANTED ME OUT OF MY SON'S AND HER LIFE. BECAUSE OF THE ISSUES I HAD WITH MY EX-WIFE I STARTED TO TAPE RECORD ALL MY PHONE CONVERSATIONS WITH HER.

THIS CHARGE WAS AN ATTEMPT BY MY EX-WIFE TO GAIN FULL CUSTODY OF OUR 5 YEAR OLD CHILD AND TO PUT ME IN JAIL. MY EX-WIFE CALLED ME AND ASKED ME TO TAKE OUR SON OUTSIDE OF THE CUSTODY AGREEMENT SO SHE COULD WORK FULL TIME FOR A FEW MONTHS. I WAS LIVING IN MINNESOTA AT THE TIME AND MY SON WAS IN TEXAS. I DID NOT GET TO SEE HIM AS OFTEN AS I USE TO AND JUMPED AT THE CHANCE TO HAVE MY SON FOR TWO FULL MONTHS. I FLEW DOWN AND PICKED UP MY SON AT MY EXPENSE. WE SPENT THE TWO MONTHS IN MINNESOTA AND I RETURNED HIM ON THE DATE AS MY EX-WIFE AND I AGREED UPON.

THREE MONTHS AFTER I HAD DROPPED OFF MY SON FROM THIS TWO MONTH EXTENDED VISIT. I FOUND OUT THERE WAS A WARRANT FOR MY ARREST IN TEXAS FOR "INTERFERENCE WITH CHILD CUSTODY" WHILE A BACKGROUND CHECK WAS BEING DONE ON ME FOR A POSITIONS WITH THE COUNTY SHERIFF AS AN OFFICER. I CONTACTED A LAWYER AS SOON AS I BECAME AWARE OF THE CHARGES AND TO GET THIS CLEARED UP AS SOON AS POSSIBLE. UNDER HIS ADVICE I FLEW DOWN TO SAN ANGELO, TX AND TURNED MYSELF INTO THE TOM GREEN COUNTY JAIL. I WAS FINGERPRINTED AND RELEASED WITHIN TEN MINUTES. I TURNED IN ALL MY TAPE RECORDED PHONE CONVERSATIONS WITH MY EX-WIFE. THE ATTORNEY HAD THE DISTRICT ATTORNEY AND JUDGE LISTEN TO THE TAPES. AFTER THE TAPES WERE HEARD BY THE JUDGE AND DISTRICT ATTORNEY ALL CHARGES WERE DISMISSED AND THE CHARGES WERE DROPPED. I WAS NEVER CONVICTED OF ANY CHARGES AND ALL CHARGES WERE DISMISSED. THIS WAS A HUGE MISTAKE BY THE DISTRICT ATTORNEY AND COURT SYSTEM. I RECIEVED AN APOLOGY FROM THE JUDGE AFTER THE MATTER WAS CLEARED UP.

End of Report



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