

BrokerCheck Report

Simon M Fisher

CRD# 7752693

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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.

Simon M. Fisher

CRD# 7752693

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

IA THRIVENT INVESTMENT MANAGEMENT INC.
 1366 N US Highway 1
 Ormond Beach, FL 32174
 CRD# 18387
 Registered with this firm since: 03/04/2024

B THRIVENT INVESTMENT MANAGEMENT INC.
 1366 N US Highway 1
 Ormond Beach, FL 32174
 CRD# 18387
 Registered with this firm since: 02/29/2024

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
- 14 U.S. states and territories

This broker has passed:

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

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

IA KEYES, STANGE & WOOTEN WEALTH MANAGEMENT, LLC
 CRD# 139806
 DAYTONA BEACH, FL
 08/2023 - 10/2023

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? **No**



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 14 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	02/29/2024

	U.S. State/ Territory	Category	Status	Date
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



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	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



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 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	02/29/2024
B Securities Industry Essentials Examination	SIE	12/18/2023

State Securities Law Exams

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

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

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
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 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.

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



Registration and Employment History

Other Business Activities, continued

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
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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