IAPD Report

RANDALL KENNETH WALKER

CRD# 1269196

Section Title | **Page(s)**

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

RANDALL KENNETH WALKER (CRD# 1269196)

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 **03/12/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	CETERA INVESTMENT ADVISERS LLC	105644	BURNSVILLE, MN	09/05/2025 - 03/12/2026
IA	AVANTAX ADVISORY SERVICES	104556	Burnsville, MN	05/15/2023 - 09/05/2025
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Burnsville, MN	01/14/2014 - 02/10/2023

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

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 not currently registered as an Investment Adviser Representative.

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, 0 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
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/30/2001

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	09/05/2025 - 03/12/2026	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	BURNSVILLE, MN
IA	05/15/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Burnsville, MN
IA	01/14/2014 - 02/10/2023	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Burnsville, MN
IA	06/06/2002 - 10/28/2010	WADDELL & REED, INC.	CRD# 866	BLOOMINGTON, MN

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Burnsville, MN, United States
06/2023 - Present	Walker Financial Group, LLC	Owner	Y	Burnsville, MN, United States
06/2019 - Present	FedEx	Courier	N	Minneapolis, MN, United States
05/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Burnsville, MN, United States
05/2023 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services.	Insurance Agent	Y	Burnsville, MN, United States
05/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Burnsville, MN, United States
05/2023 - 07/2023	Avantax Insurance Agency, LLC	Insurance Agent	Y	Burnsville, MN, United States
12/2019 - 07/2023	Randall K. Walker dba Keller Williams Realty Integrity Edina	Real Estate Agent	N	Edina, MN, United States
06/2019 - 07/2023	FedEx	Courier/Non-DOT	N	Minneapolis, MN, United States
10/2010 - 01/2023	Pruco Securities, LLC.	Financial Advisor	Y	Burnsville, MN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2010 - 01/2023	Prudential Insurance Company of America	FINANCIAL PROFESSIONAL	Y	Burnsville, MN, United States
05/2016 - 12/2019	RE/MAX Advantage Plus	Real Estate Agent	N	Savage, MN, 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.

1) CONTINENTAL CASUALTY COMPANY
Insurance Agent: Insurance company offering long term care insurance, life insurance and property and casualty insurance. They are consistently researching the market for competitive pricing on products, recruiting agents, composing proposals for new customers, servicing policies and handling claims. NIR; 0; 0; 06/28/1994; CNA Plaza, Chicago IL 60685, US; Researched this company's line of long term care insurance policies, presented the most appropriate policy for my client, wrote the application and placed the policy.

2) FEDEX
Courier: I am a Courier, operating out of the Minneapolis/St. Paul airport location for FedEx. I will pick up packages at various businesses and drop boxes in the metro area. I will also deliver packages to various businesses and homes in the metro area. It is also my duty to review trucks at the end of the work day for packages left on them. It is also my duty to repark these trucks in appropriate parking areas of the terminal for the night; NIR; 80; 0; 06/26/2019; 2825 Cargo Rd, Minneapolis MN 55439, US; I am a Courier, operating out of the Minneapolis/St. Paul airport location for FedEx. I will pick up packages at various businesses and drop boxes in the metro area. I will also deliver packages to various businesses and homes in the metro area. It is also my duty to review trucks at the end of the work day for packages left on them. It is also my duty to repark these trucks in appropriate parking areas of the terminal for the night.?

3) WALKER FINANCIAL GROUP, LLC
POSITION: Owner NATURE: This is a newly formed DBA. I will be operating as a Financial Advisor under this DBA. This will pertain to securities and insurance transactions. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 100 START DATE: 06/30/2023
ADDRESS: 2109 E 125th St, Burnsville MN 55337, United States
DESCRIPTION: Prospecting for new financial services clients, determining financial needs they may have, presenting investment and insurance solutions to them, submitting appropriate business transactions to the appropriate Avantax approved locations, presenting and reviewing the products purchased by the clients.

4) KELLER WILLIAMS REALTY INTEGRITY EDINA
POSITION: Realtor NATURE: Independent contractor as a residential Realtor. Activities include representing buyers and sellers in real estate transactions. INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 20 START DATE: 12/10/2019
ADDRESS: 7401 Metro Blvd, Suite 350, Edina MN 55439, United States
DESCRIPTION: Duties include finding and showing homes for sale to potential buyers, listing homes for sale for sellers and marketing those homes to potential buyers and other Realtors, negotiating transactions on behalf of clients.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF MINNESOTA COMMISSIONER OF COMMERCE AND U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
Sanction(s) Sought:	Bar Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/01/2011
Docket/Case Number:	11314/PEG
Employing firm when activity occurred which led to the regulatory action:	WADDELL $ REED INC.
Product Type:	Insurance Other: TITLE INSURANCE
Allegations:	MANY OF THE JOINT VENTURE EMPLOYEES OR THE REFERRAL PARTNERS WHO ENGAGED IN THE SOLICITATION OF TITLE INSURANCE WERE NOT LICENSED AS "INSURANCE PRODUCERS" UNDER MINNESOTA LAW IN VIOLATION OF MINN.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes

Resolution Date:	01/01/2011
Sanctions Ordered:	Bar (Permanent) Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: BARRED FROM SELLING, SOLICITING OR NEGOTIATION TITLE INSURANCE
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	TILTE INSURANCE
Duration:	PERMANENT
Start Date:	01/01/2011
End Date:	01/01/2011
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$1,000.00
Portion Levied against individual:	$1,000.00
Payment Plan:	N/A
Is Payment Plan Current:	Yes
Date Paid by individual:	01/01/2011
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THE DEPT INITIATED A SETTLEMENT THAT INCLUDED A BARR OF LICENSURE FOR TITLE INSURANCE AND A MONETARY PAYMENT OF $1,000.00

End of Report

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