



IAPD Report

ROBERT ENOCH WALTON

CRD# 1313208

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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.



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

ROBERT ENOCH WALTON (CRD# 1313208)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	07/29/1986
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	RIDGELAND, MS	04/02/2008 - 01/02/2009
B	BUCHANAN & CO., INC.	7113	RIDGELAND, MS	11/21/1984 - 07/31/1986

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
Customer Dispute	2



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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/29/1986
	Alabama	Agent	Approved	12/12/1986
	Arkansas	Agent	Approved	07/03/2024
	Florida	Agent	Approved	01/06/1987
	Mississippi	Agent	Approved	07/29/1986
	Pennsylvania	Agent	Approved	01/26/2021
	Tennessee	Agent	Approved	08/11/2021
	Texas	Agent	Approved	02/17/1994

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
100 FOUNTAINS BLVD
SUITE 200
MADISON, MS 39110

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018



Qualifications

	Regulator	Registration	Status	Date
IA	Mississippi	Investment Adviser Representative	Approved	01/02/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	01/04/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

100 Fountains Blvd
Suite 200
Madison, MS 39110



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/17/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/26/2008
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1984



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	04/02/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	RIDGELAND, MS
B	11/21/1984 - 07/31/1986	BUCHANAN & CO., INC.	CRD# 7113	

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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	RIDGELAND, MS, United States
07/1986 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	NOT PROVIDED	Y	RIDGELAND, MS, 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)Name of Business: Address: 100 Fountains Boulevard, Madison, MS, 39110-2522, United States Activity Type: Control Person Position/Title: Trustee (Acting), Trust advisor (Acting) Investment Related: Yes Start Date: 11/29/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: TRUSTEE FOR MY BROTHERS TRUST.

(2)Name of Business: WALTON Address: 312 DUNLEIGH CT, MADISON, MS, 39110, United States Activity Type: Control Person Position/Title: Trust advisor (Acting), Trustee (Acting), Executor (Acting) Investment Related: Yes Start Date: 01/12/2012 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: EXECUTOR OF WILL FOR BROTHER AND SISTER AND ME.\nTRUSTEE FOR JAMES M.WALTON TRUST\nADVISOR ON THIS TRUST

(3)Name of Business: WALTON WEALTH MGT. Address: 312 DUNLEIGH CT., MADISON, MS, 39110, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 06/15/2015 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner of support company



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
Customer Dispute	2

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:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	08/02/1988
Docket/Case Number:	NEW-615/625
Employing firm when activity occurred which led to the regulatory action:	BUCHANAN & CO., INC.
Product Type:	Other
Other Product Type(s):	NON-RATED MUNICIPAL BONDS
Allegations:	THAT I HAD MISREPRESENTED THESE BONDS TO HER THAT WENT INTO DEFAULT AND NEGLECTED TO DISCLOSE ALL THE RISKS OF THESE MUNICIPAL BONDS TO CUSTOMER. I FEEL THAT I WAS 100% MISLED BY COMPANY OFFICIALS AND GIVEN FALSE STATEMENTS BY THEM AS I HAVE STATED MANY TIMES.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/07/1989
Sanctions Ordered:	Censure Monetary/Fine \$2,000.00



Other Sanctions Ordered:

Sanction Details:

I WAS CENSURED AND FINED \$2,000.00 NO SUSPENSION EVER MENTIONED. I NEVER ADMITTED TO ANY WRONG-DOING ON MY PART WHATSOEVER, BUT WAS TOLD THAT RULES G-17 AND G-19 WERE VIOLATED.

Broker Statement

I WILL ATTEMPT TO PROVIDE A BREIF SUMMARY FROM MY ORIGINAL FIVE PAGE RESPONSE DATED 10-15-87. I HAD BEEN A REGISTERED REP. FOR 3 1/2 MONTHS WHEN CLIENT'S ACCOUNT WAS OPENED. I HAD NO TRAINING NOR SUPERVISION FROM ANYONE ON SECURITIES WE SOLD. CLIENT WANTED SOME OF THE SAME INVESTMENTS HER BROTHER HAD PURCHASED AND CERTAINLY KNEW OF THE NON-RATED BONDS SHE PURCHASED. LOOKING BACK NOW, KNOWING HOW THESE BONDS WERE UNDERWRITTEN AND THE RISK INVOLVED AND THE MANY DEFAULTS, I WOULD NEVER HAVE SOLD THESE SECURITIES TO ANYONE. I SOLD HER 11 SECURITY'S TOTALING \$60,198.00 OF WHICH 3 WENT INTO DEFAULT TOTALING \$15,000.00



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	SUITABILITY
Product Type:	Equity-OTC
Alleged Damages:	\$82,630.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/04/2012
Complaint Pending?	No
Status:	Denied
Status Date:	06/21/2012
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT ALLEEGD SUITABILITY, NO SPECIFIC AMOUNT GIVEN, BUT APPEARS TO BE GREATER THAN \$5000.
Product Type:	Other
Other Product Type(s):	ANNUITY
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	05/06/2003
Complaint Pending?	No



Status:	Denied
Status Date:	05/15/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	PLEASE ARCHIVE. NO LONGER REPORTABLE.



End of Report

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