



IAPD Report

ROBERT WALKER KENNY

CRD# 1653062

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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 WALKER KENNY (CRD# 1653062)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	07/27/2006
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	08/11/2006

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **37** 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	PIPER JAFFRAY & CO.	665	OMAHA, NE	01/29/2002 - 08/02/2006
B	PIPER JAFFRAY & CO.	665	OMAHA, NE	12/04/2001 - 08/02/2006
B	U.S. BANCORP INVESTMENTS, INC.	17868	SAINT PAUL, MN	09/17/1998 - 12/08/2001

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
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 **37** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/27/2006
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	09/20/2006
B FINRA	General Securities Representative	Approved	07/27/2006



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	09/20/2006
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	07/27/2006
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	07/27/2006
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/20/2006
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/01/2008
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/20/2006
B Nasdaq Stock Market	General Securities Representative	Approved	12/18/2006
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	01/13/2009
B New York Stock Exchange	General Securities Representative	Approved	07/27/2006
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	07/27/2006
B Alaska	Agent	Approved	02/25/2025
B Arizona	Agent	Approved	07/27/2006
B Arkansas	Agent	Approved	11/25/2014
B California	Agent	Approved	07/27/2006
B Colorado	Agent	Approved	07/27/2006
B Connecticut	Agent	Approved	08/15/2023
B Florida	Agent	Approved	07/27/2006
B Georgia	Agent	Approved	03/02/2007
B Hawaii	Agent	Approved	12/01/2010



Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	04/10/2008
B	Indiana	Agent	Approved	04/13/2026
B	Iowa	Agent	Approved	07/27/2006
B	Kansas	Agent	Approved	07/27/2006
B	Maryland	Agent	Approved	05/22/2013
B	Massachusetts	Agent	Approved	06/17/2016
B	Michigan	Agent	Approved	11/16/2016
B	Minnesota	Agent	Approved	07/27/2006
B	Missouri	Agent	Approved	07/27/2006
B	Montana	Agent	Approved	08/11/2006
B	Nebraska	Agent	Approved	07/27/2006
IA	Nebraska	Investment Adviser Representative	Approved	08/11/2006
B	Nevada	Agent	Approved	07/19/2011
B	New Hampshire	Agent	Approved	02/04/2026
B	New Jersey	Agent	Approved	03/07/2023
B	North Carolina	Agent	Approved	07/27/2006
B	North Dakota	Agent	Approved	07/19/2017
B	Ohio	Agent	Approved	10/29/2024
B	Oklahoma	Agent	Approved	01/03/2022



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	07/27/2006
B South Carolina	Agent	Approved	04/28/2025
B South Dakota	Agent	Approved	09/11/2013
B Tennessee	Agent	Approved	07/18/2016
B Texas	Agent	Approved	07/27/2006
IA Texas	Investment Adviser Representative	Restricted Approval	07/19/2016
B Virginia	Agent	Approved	09/12/2011
B Washington	Agent	Approved	07/27/2006
B Wisconsin	Agent	Approved	01/27/2011
B Wyoming	Agent	Approved	07/27/2006

Branch Office Locations

RBC CAPITAL MARKETS, LLC
12910 Pierce St.
SUITE 300
OMAHA, NE 68144-1106

RBC CAPITAL MARKETS, LLC
OMAHA, NE



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/19/2006
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/18/2006

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	04/04/2007
General Securities Representative Examination (S7)	Series 7	03/18/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/02/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	01/29/2002 - 08/02/2006	PIPER JAFFRAY & CO.	CRD# 665	OMAHA, NE
B	12/04/2001 - 08/02/2006	PIPER JAFFRAY & CO.	CRD# 665	OMAHA, NE
B	09/17/1998 - 12/08/2001	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	SAINT PAUL, MN
B	01/16/2001 - 11/30/2001	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	05/19/1997 - 08/11/1998	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	
B	03/19/1996 - 04/28/1997	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	11/02/1988 - 12/19/1990	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	05/21/1987 - 11/08/1988	WALNUT STREET SECURITIES, INC.	CRD# 15840	

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
03/2008 - Present	RBC CAPITAL MARKETS CORPORATION	Registered Representative	Y	OMAHA, NE, 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) NATURE TECHNOLOGY; ADDRESS: 4701 INNOVATION PKWY, LINCOLN, NE 68502; BUSINESS DESCRIPTION: BIOTECH COMPANY; NOT INVESTMENT RELATED; START DATE: 01/01/2011; CAPACITY: BOARD OF DIRECTORS; DUTIES: REVIEW SALARIES, COMPENSATION, STRATEGIC PLAN; HOURS DEVOTED PER WEEK: .20; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

2) NAME OF ENTITY: Kenny Acres
ADDRESS: 16105 190th road, Denison KS 66509
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: lease pasture



Registration & Employment History



OTHER BUSINESS ACTIVITIES

START DATE: 06.24.23
CAPACITY: Owner - Active
DUTIES: I own a small farm-I do general maintenance on the property
HOURS DEVOTED PER MONTH: 0.25
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

3) NAME OF ENTITY: kenny farms
ADDRESS: 16312 C Street omaha NE 68130
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Other
START DATE: Aug 14, 2019
CAPACITY: Owner
DUTIES: owner
HOURS DEVOTED PER MONTH: 0 - 4 Hours
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0 - 4 Hours



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
Customer Dispute	2

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:	RBC Capital Markets, LLC
Allegations:	Customer alleges misrepresentation in the course of investing in an exchanged traded fund and an annuity. Time frame is 10/24/17 to 5/3/18.
Product Type:	Annuity-Variable Other: Exchanged Traded Fund
Alleged Damages:	\$33,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory claim estimated from value of client investments.
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:	05/03/2018
Complaint Pending?	No
Status:	Denied
Status Date:	08/09/2018

**Settlement Amount:****Individual Contribution Amount:****Disclosure 2 of 2**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP PIPER JAFFRAY INC.

Allegations: CLIENT STATES IE FAILED TO CONTACT HIM REGARDING MARGIN CALL.

Product Type: Equity - OTC

Alleged Damages: \$8,500.00

Customer Complaint Information

Date Complaint Received: 08/08/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/08/2001

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THIS CUSTOMER COMPLAINT IS NO LONGER REPORTABLE. ON 6/14/01 ANOTHER MARGIN SELLOUT NOTICE WAS RECEIVED AND I CONFIRMED THE AMOUNT WITH THE MARGIN DEPARTMENT PRIOR TO CONTACTING THE CLIENT. I ATTEMPTED TO REACH THE CLIENT ON ALL PHONE NUMBERS AND LEFT A MESSAGE ON HIS CELL PHONE-THE AMOUNT DUE WAS \$11,700. THE MESSAGE WAS LEFT AT 9:01 A.M. CENTRAL TIME. I DEBITED HIS CHECKING ACCOUNT PER PRIOR INSTRUCTIONS. 6/15/01 ANOTHER HOUSE CALL DUE FOR \$1000-I DISCUSSED YESTERDAYS FED CALL, TRANSFER AND TODAY'S HOUSE CALL. THE STOCK HAD RECOVERED A BIT DURING THE DAY AFTER A POSITIVE ANALYST REPORT AND IT APPEARED THAT THE HOUSE CALL MIGHT BE LIFTED IF THE STOCK CONTINUED TO RISE. WE DECIDED TO WAIT UNTIL MONDAY TO SEE WHAT THE STOCK WOULD DO. I DID NOT HEAR FROM THE CLIENT ON MONDAY AND THE STOCK LOST VALUE. 6/18/01 I LEFT A MESSAGE AT 3:00 P.M. THAT CLIENT WOULD LIKELY BE IN A MARGIN CALL TOMORROW MORNING-STOCK HAD FALLEN FROM APPROXIMATELY \$7 PER SHARE TO \$6 PER SHARE. 6/19/01 SPOKE TO CLIENT AT 9:36 A.M. AND TOLD HIM THAT A SELLOUT WAS LIKELY FOR THE NEXT DAY DUE TO THE STOCKS CONTINUED DECLINE-HE INSTRUCTED ME TO SELL OUT HIS ENTIRE POSITION. STOCK SOLD FOR APPROXIMATELY \$5 PER SHARE. THE CLIENT ENDED UP WITH A DEBIT BALANCE OF APPROXIMATELY \$8500. THE CLIENT'S ASSERTION THAT HE WAS NOT PROPERLY NOTIFIED OF MARGIN REQUIREMENTS ON A TIMELY BASIS IS WITHOUT MERIT. I NEVER RECOMMENDED THE STOCK TO THE CLIENT AND OFFERED SOLUTIONS TO REDUCE HIS RISK THAT THE CLIENT CHOSE TO NOT IMPLEMENT.



End of Report

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