



IAPD Report

DAMON DARRELL WALKER

CRD# 2999280

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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

DAMON DARRELL WALKER (CRD# 2999280)

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 **07/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/11/2024
IA	LPL FINANCIAL LLC	CRD# 6413	04/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **46** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	West Des Moines, IA	08/02/2010 - 04/16/2024
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Davenport, IA	08/02/2010 - 04/16/2024
IA	ING FINANCIAL PARTNERS, INC	2882	LISBON, IA	10/11/2006 - 08/04/2010

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	04/11/2024
	Alabama	Agent	Approved	04/11/2024
	Arizona	Agent	Approved	04/11/2024
	Arkansas	Agent	Approved	05/03/2024
	California	Agent	Approved	04/17/2024
	Colorado	Agent	Approved	04/11/2024
	Connecticut	Agent	Approved	04/11/2024
	Florida	Agent	Approved	04/11/2024
	Georgia	Agent	Approved	04/11/2024
	Idaho	Agent	Approved	04/11/2024
	Illinois	Agent	Approved	06/04/2024
	Indiana	Agent	Approved	04/11/2024
	Iowa	Agent	Approved	04/17/2024



Qualifications

	Regulator	Registration	Status	Date
IA	Iowa	Investment Adviser Representative	Approved	04/17/2024
B	Kansas	Agent	Approved	04/11/2024
B	Kentucky	Agent	Approved	04/11/2024
B	Louisiana	Agent	Approved	04/11/2024
B	Maine	Agent	Approved	04/17/2024
B	Maryland	Agent	Approved	04/18/2024
B	Michigan	Agent	Approved	04/11/2024
B	Minnesota	Agent	Approved	04/22/2024
B	Mississippi	Agent	Approved	04/11/2024
B	Missouri	Agent	Approved	05/13/2024
B	Montana	Agent	Approved	12/02/2024
B	Nebraska	Agent	Approved	04/11/2024
B	Nevada	Agent	Approved	04/11/2024
B	New Hampshire	Agent	Approved	07/09/2024
B	New Jersey	Agent	Approved	04/11/2024
B	New Mexico	Agent	Approved	04/11/2024
B	New York	Agent	Approved	04/11/2024
B	North Carolina	Agent	Approved	04/11/2024
B	North Dakota	Agent	Approved	04/11/2024



Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	04/11/2024
B	Oklahoma	Agent	Approved	04/23/2024
B	Oregon	Agent	Approved	04/11/2024
B	Pennsylvania	Agent	Approved	04/30/2024
B	Rhode Island	Agent	Approved	04/11/2024
B	South Carolina	Agent	Approved	04/11/2024
B	South Dakota	Agent	Approved	12/16/2024
B	Tennessee	Agent	Approved	05/06/2024
B	Texas	Agent	Approved	04/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	04/11/2024
B	Utah	Agent	Approved	04/11/2024
B	Vermont	Agent	Approved	04/11/2024
B	Virgin Islands	Agent	Approved	04/11/2024
B	Virginia	Agent	Approved	04/11/2024
B	Washington	Agent	Approved	04/11/2024
B	West Virginia	Agent	Approved	04/11/2024
B	Wisconsin	Agent	Approved	04/11/2024

Branch Office Locations

LPL FINANCIAL LLC



Qualifications

915 BELL DR SW
CEDAR RAPIDS, IA 52404



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, 3 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	08/09/2005
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/17/1998

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/28/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/24/1998



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	08/02/2010 - 04/16/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	West Des Moines, IA
B	08/02/2010 - 04/16/2024	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Davenport, IA
IA	10/11/2006 - 08/04/2010	ING FINANCIAL PARTNERS, INC	CRD# 2882	LISBON, IA
B	09/19/2006 - 08/04/2010	ING FINANCIAL PARTNERS, INC.	CRD# 2882	LISBON, IA
IA	09/30/2005 - 09/22/2006	RBC DAIN RAUSCHER INC.	CRD# 31194	CEDAR RAPIDS, IA
B	08/10/2005 - 09/22/2006	RBC DAIN RAUSCHER INC.	CRD# 31194	CEDAR RAPIDS, IA
B	02/18/1998 - 12/31/2000	HEARTLAND INVESTMENT ASSOCIATES, INC.	CRD# 26974	HIAWATHA, IA

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
04/2024 - Present	LPL Financial LLC	Registered Representative	Y	Cedar Rapids, IA, United States
08/2010 - 04/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	IA REP	Y	FAIRFIELD, IA, United States
08/2010 - 04/2024	CAMBRIDGE INVESTMENT RESEARCH, INC.	REG REP	Y	FAIRFIELD, IA, 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- 02/2024 / Walker INC / Business Entity For Tax/Investment Purposes Only / NON INVESTMENT RELATED / 160 HR MNTH / 8 HRS DURING TRADING / START DATE 08/01/2010
- 2- 02/2024 / Edge Investment Solutions / DBA for LPL Business (entity for LPL business) / INVESTMENT RELATED / 160 HRS MNTH / 8 HRS DURING TRADING
- 3- 02/2024 / Crump / Non-Variable Insurance / INVESTMENT RELATED / START DATE 08/01/2010



Registration & Employment History



OTHER BUSINESS ACTIVITIES

4- 02/2024 / Dave Ramsey - SmartVestor Pro / OTHER / NON INVESTMENT RELATED / START DATE 11/06/2006
5-02/2024 / WALKER REAL ESTATE PROPERTIES. LL / Real Estate Rental / NON INVESTMENT RELATED / START DATE 02/01/2021
6- 02/2024 / WALKER REAL ESTATE PROPERTIES OF IOWA, LLC / Real Estate Rental / NON INVESTMENT RELATED / START DATE 07/01/2022



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:	Iowa Insurance Division
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Denial Restitution Revocation Suspension
Date Initiated:	07/12/2018
Docket/Case Number:	98241
Employing firm when activity occurred which led to the regulatory action:	Cambridge Investment Research, Inc.
Product Type:	Mutual Fund
Allegations:	Allegations indicate that the advisor may have added information to executed client paperwork and recommended mutual funds that were unsuitable for the client.
Current Status:	Final
Resolution:	Order



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:	09/07/2018
Sanctions Ordered:	Censure Restitution
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	\$7,000.00
Portion Levied against individual:	\$7,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	09/10/2018
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Per the consent order signed, the RR neither admits or denies the allegations set forth by the Iowa Insurance Division. This matter has since been resolved by the parties.



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:	Cambridge Investment Research, Inc
Allegations:	Client alleges the mutual funds recommended and purchased were not in her best interest.
Product Type:	Mutual Fund
Alleged Damages:	\$11,461.00
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:	02/23/2018
Complaint Pending?	No
Status:	Denied
Status Date:	03/09/2018
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	RR asserts the complaint is not warranted due to the fact that the client took out over 50% of the account balance within the first two years of the investment. At inception, the client was seeking higher than normal income and agreed to be more aggressive with using a specific type of funds to obtain it. RR asserts this recommendation was suitable based on the client's current situation.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Cambridge Investment Research, Inc.
Allegations:	Claimant alleges advisor recommended and executed unsuitable investment transactions in aggressive and high risk mutual fund investments that were inconsistent with claimant's stated objectives and risk tolerance.
Product Type:	Mutual Fund
Alleged Damages:	\$17,000.00



Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 16-02557

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/31/2016

Customer Complaint Information

Date Complaint Received: 09/09/2016

Complaint Pending? No

Status: Settled

Status Date: 02/01/2017

Settlement Amount: \$9,500.00

**Individual Contribution
Amount:** \$7,500.00

Broker Statement Situation settled. RR is confident in his position. No issues.



End of Report

This page is intentionally left blank.