



IAPD Report

MITCHELL BRIAN WALK

CRD# 3195375

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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

MITCHELL BRIAN WALK (CRD# 3195375)

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 **05/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	01/02/2001
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	05/03/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	NFP ADVISOR SERVICES, LLC	42046	LONGWOOD, FL	02/27/2004 - 09/22/2016
IA	ASSET MANAGEMENT PARTNERS	129758	LONGWOOD, FL	09/08/2000 - 12/13/2012
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	03/15/2000 - 01/12/2001

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	7



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

Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 283330

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	05/03/2016
IA Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
2420 S. Lakemont Ave
Suite 120
Orlando, FL 32814

KESTRA ADVISORY SERVICES, LLC
1950 Ringling Blvd
Suite 403
SARASOTA, FL 34236

KESTRA ADVISORY SERVICES, LLC
320 High Tide Drive
Unit 201B
St. Augustine, FL 32080

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 42046

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/02/2001
B Alabama	Agent	Approved	04/16/2013



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	12/08/2009
B Arizona	Agent	Approved	02/26/2019
B California	Agent	Approved	05/19/2005
B Colorado	Agent	Restricted Approval	04/21/2014
B Connecticut	Agent	Approved	05/23/2005
B Delaware	Agent	Approved	02/18/2020
B Florida	Agent	Approved	01/02/2001
B Georgia	Agent	Approved	11/13/2007
B Hawaii	Agent	Approved	03/13/2020
B Illinois	Agent	Approved	05/19/2005
B Iowa	Agent	Approved	12/21/2016
B Maine	Agent	Approved	05/19/2005
B Maryland	Agent	Approved	05/19/2005
B Massachusetts	Agent	Approved	05/19/2005
B Michigan	Agent	Approved	05/19/2005
B Minnesota	Agent	Approved	02/25/2014
B Mississippi	Agent	Approved	01/19/2021
B Nevada	Agent	Approved	03/05/2019



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	05/19/2005
B New Mexico	Agent	Approved	12/08/2015
B New York	Agent	Approved	05/19/2005
B North Carolina	Agent	Approved	10/11/2005
B Ohio	Agent	Approved	05/30/2002
B Pennsylvania	Agent	Approved	05/18/2005
B Rhode Island	Agent	Approved	05/23/2005
B South Carolina	Agent	Approved	08/23/2010
B Tennessee	Agent	Approved	06/06/2005
B Texas	Agent	Approved	05/23/2005
B Vermont	Agent	Approved	05/11/2018
B Virginia	Agent	Approved	01/19/2007
B Washington	Agent	Approved	10/31/2014
B Wyoming	Agent	Approved	05/19/2005

Branch Office Locations

NFP ADVISOR SERVICES, LLC
 2420 S. Lakemont Ave
 Suite 120
 Orlando, FL 32814

NFP ADVISOR SERVICES, LLC
 1950 Ringling Blvd
 Suite 403
 SARASOTA, FL 34236

NFP ADVISOR SERVICES, LLC
 320 High Tide Drive
 Unit 201B
 St. Augustine, FL 32080



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/14/2000

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/17/2005
Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/1999

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	02/27/2004 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	LONGWOOD, FL
IA	09/08/2000 - 12/13/2012	ASSET MANAGEMENT PARTNERS	CRD# 129758	LONGWOOD, FL
B	03/15/2000 - 01/12/2001	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE

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
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	LONGWOOD, FL, United States
07/2012 - Present	RETIREMENT WEALTH SPECIALISTS INC.	PRESIDENT AND CCO	Y	LONGWOOD, FL, United States
01/2001 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LONGWOOD, FL, 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.

Name: BUMW inc Investment Related: No Address: 407 WEKIVA SPRINGS ROAD SUITE 247 Longwood FL 32779 Nature of Business: name change of former company after the sale to Kestra Title: president Start Date: 2/4/2020 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: none. close out former company

Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC Title: Investment Advisor Representative Start Date: 4/4/2016 Hours per month: Up to 100% (0 to 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory services

Name: UWP Ballard Investment Related: Yes Address: 1605 Main Street suite 1110 Saraosta FL 34236 Nature of Business: Real Estate Title: Moved to Other from Officer Start Date: 8/1/2008 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: None

Name: Flagler College Investment Related: No Address: King Street St Augustine FL 32809 Nature of Business: Community/Charitable/Civic Title: Board of trustees Start Date: 11/1/2011 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: College trustee. On the enrollment committee, facility committee and



Registration & Employment History



OTHER BUSINESS ACTIVITIES

advancement committee

Name: CRJ Endowment Investment Related: No Address: 928 malone drive Orlando FL 32810 Nature of Business: Community/Charitable/Civic Title: Member Start Date: 11/1/2011 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: Meet 3 times a year to discuss fund raising ideas

Name: SECURITY FINANCIAL MANAGEMENT POSI: managing director NATURE: Registered rep activities through Kestra Investment Services INV REL: Yes # OF HOURS: 150 SECURITIES TRADING HOURS: 110 START DATE: 04/01/2024 ADDRESS: 2420 S Lakemont Ave, suite 120, Orlando FL 32814 DESC: Meet with clients for wealth management including investment advice and financial planning. Also over see and work on marketing events and podcasts

Name: ST AUGUSTINE PROPERTY HOLDINGS LLC POSITION: owner of property NATURE: Real Estate INVESTMENT RELATED: Yes # OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/16/2025 ADDRESS: 4250 A1A South Unit E-15, ST Augustine FL 32084, United States DESCRIPTION: no duties or activates. The professional rental company handles the entire property. I look at the activities online to see if they have rented the unit and check my expected revenue. It is short term rentals. minimum 3 day stays

NAME: MNW PROPERTY GROUP LLC-CA POSITION: co owner NATURE: Real Estate INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/15/2025 ADDRESS: 2048 hutton pt, longwood FL 32779, United States DESCRIPTION: collect rent and pay bills

Name: HENRYAMOS HOLDINGS LLC POSITION: member NATURE: Real Estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/05/2026 ADDRESS: 2048 Hutton Pt, Longwood FL 32779, United States DESCRIPTION: I have turned this over to a property management company. They will handle all duties. I will just receive monthly income from the property. All other duties will be handled by the professional property management 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
Customer Dispute	7

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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	KESTRA INVESTMENT SERVICES, LLC
Allegations:	Claimants allege an unsuitable recommendation for the purchase of a security.
Product Type:	Oil & Gas Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm has made a good faith determination that the damages would be greater than \$5,000.
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 #:	25-00060
Filing date of arbitration/CFTC reparation or civil litigation:	01/10/2025

Customer Complaint Information



Date Complaint Received: 01/10/2025
Complaint Pending? No
Status: Settled
Status Date: 02/13/2026
Settlement Amount: \$80,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: KESTRA INVESTMENT SERVICES, LLC
Allegations: Claimants alleges that the financial professional recommended the sale of unsuitable investments.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$5,000.00
Alleged Damages Amount Explanation (if amount not exact): The firm has made a good faith determination that the damages would exceed \$5,000.
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 #: 24-00388
Filing date of arbitration/CFTC reparation or civil litigation: 02/20/2024

Customer Complaint Information

Date Complaint Received: 02/20/2024
Complaint Pending? No
Status: Settled
Status Date: 02/14/2025
Settlement Amount: \$15,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 7

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: Kestra Investment Services

Allegations: Registered representative made unsuitable recommendations and Kestra Investment Services failed to supervise those recommendations.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$72,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-02130

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2017

Customer Complaint Information

Date Complaint Received: 08/14/2017

Complaint Pending? No

Status: Settled

Status Date: 11/05/2018

Settlement Amount: \$14,999.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Kestra Investment Services, LLC

Allegations: Claim alleging misrepresentations and other causes of action in connection with the sale of various alternative investments in approximately August 2014.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$350,000.00

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 #: 16-02788
Filing date of arbitration/CFTC reparation or civil litigation: 09/19/2016

Customer Complaint Information

Date Complaint Received: 10/04/2016
Complaint Pending? No
Status: Settled
Status Date: 12/12/2018
Settlement Amount: \$52,500.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NFP SECURITIES

Allegations: COMPLAINT ALLEGES UNSUITABILITY AND OTHER CAUSES OF ACTION IN CONNECTION WITH THE SALE OF A MEZZANINE FINANCING INVESTMENT IN 2008.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

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 #: 13-02162
Filing date of arbitration/CFTC reparation or civil litigation: 07/22/2013

Customer Complaint Information

Date Complaint Received: 07/31/2013
Complaint Pending? No
Status: Denied
Status Date: 01/02/2014
Settlement Amount:
Individual Contribution Amount:

**Disclosure 6 of 7**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NFP SECURITIES

Allegations: COMPLAINT ALLEGES UNSUITABILITY AND OTHER CAUSES OF ACTION IN CONNECTION WITH THE SALE OF ALTERNATIVE INVESTMENTS IN 2007.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGE AMOUNTS ARE NOT SPECIFICALLY STATED WITHIN THE COMPLAINT, HOWEVER; IT IS THE FIRM'S GOOD FAITH ESTIMATE THAT THE AMOUNT IS IN EXCESS OF \$5,000.

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/ BOCA RATON, FL

Docket/Case #: 13-01477

Filing date of arbitration/CFTC reparation or civil litigation: 05/20/2013

Customer Complaint Information

Date Complaint Received: 06/05/2013

Complaint Pending? No

Status: Settled

Status Date: 10/09/2014

Settlement Amount: \$77,500.00

Individual Contribution Amount: \$0.00

Disclosure 7 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NFP SECURITIES, INC.

Allegations: COMPLAINANT ALLEGES THE REPRESENTATIVE DID NOT LOOK OUT FOR HER BEST INTERESTS AND IS UPSET WITH THE INVESTMENTS THE REPRESENTATIVE HAS RECOMMENDED. INVESTMENT ACTIVITY BEGAN IN JUNE 2007.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact):

NO DAMAGE AMOUNT WAS ALLEGED. HOWEVER, IT IS THE FIRM'S GOOD FAITH DETERMINATION THAT THE DAMAGES ARE GREATER THAN \$5,000.

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: 05/04/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/17/2011

Settlement Amount:

Individual Contribution Amount:



End of Report

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