



IAPD Report

ANGELA DAWN WALTON

CRD# 4328527

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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

ANGELA DAWN WALTON (CRD# 4328527)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/29/2010
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/29/2010

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **25** 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	EDWARD JONES	250	JACKSON, MI	06/25/2010 - 11/17/2010
B	EDWARD JONES	250	JACKSON, MI	02/27/2001 - 11/17/2010

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
Customer Dispute	2
Termination	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 currently registered with **25** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/29/2010
B Investors' Exchange LLC	General Securities Representative	Approved	11/03/2025
B MEMX LLC	General Securities Representative	Approved	11/03/2025
B NYSE American LLC	General Securities Representative	Approved	10/29/2010
B NYSE Arca, Inc.	General Securities Representative	Approved	11/03/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	11/03/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/29/2010
B Nasdaq Stock Market	General Securities Representative	Approved	10/29/2010
B New York Stock Exchange	General Securities Representative	Approved	10/29/2010
B Alabama	Agent	Approved	12/17/2014
B Arizona	Agent	Approved	10/25/2016
B California	Agent	Approved	10/29/2010
B Colorado	Agent	Approved	06/06/2024



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	10/29/2010
IA Florida	Investment Adviser Representative	Approved	07/18/2023
B Georgia	Agent	Approved	01/17/2013
B Idaho	Agent	Approved	02/23/2024
B Illinois	Agent	Approved	07/14/2014
B Indiana	Agent	Approved	07/14/2017
B Iowa	Agent	Approved	02/01/2012
B Kentucky	Agent	Approved	11/23/2015
B Maryland	Agent	Approved	11/25/2015
IA Michigan	Investment Adviser Representative	Approved	10/29/2010
B Michigan	Agent	Approved	01/03/2011
B Minnesota	Agent	Approved	02/01/2012
B Missouri	Agent	Approved	03/11/2020
B Nebraska	Agent	Approved	04/17/2025
B Nevada	Agent	Approved	02/11/2025
B North Carolina	Agent	Approved	10/14/2011
B Ohio	Agent	Approved	05/30/2012
B Oregon	Agent	Approved	03/16/2012
B Pennsylvania	Agent	Approved	03/14/2025



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	10/30/2014
B Texas	Agent	Approved	04/01/2013
IA Texas	Investment Adviser Representative	Restricted Approval	03/19/2013
B Virginia	Agent	Approved	04/17/2023
B Washington	Agent	Approved	06/02/2014

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
Cape Coral, FL



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
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	General Securities Representative Examination (S7)	Series 7	02/26/2001
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State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	04/28/2010
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	Uniform Securities Agent State Law Examination (S63)	Series 63	03/01/2001
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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	06/25/2010 - 11/17/2010	EDWARD JONES	CRD# 250	JACKSON, MI
B	02/27/2001 - 11/17/2010	EDWARD JONES	CRD# 250	JACKSON, MI

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
07/2021 - Present	Weight Watchers	Leader/Receptionist	N	Fort Myers, FL, United States
03/2013 - Present	WEIGHT WATCHERS	CLASS LEADER OR RECEPTIONIST	N	JACKSON, MI, United States
10/2010 - Present	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	Cape Coral, FL, United States
03/2023 - 02/2025	Optavia	Associate/Employee	N	Cape Coral, FL, United States
07/2021 - 01/2022	WEIGHT WATCHERS	OTHER	N	FORT MYERS, FL, United States
10/2019 - 11/2020	OPTAVIA	OTHER	N	JACKSON, MI, 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: Life 2 Love Coaching Address: 3627 SE 21st Place, Cape Coral, FL, 33904, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 06/17/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Personal Coaching, life coach, relationship coachNO financial coaching



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
Termination	1

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: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: FROM 5/28/2010 THE PRESIDENT OF THE COMPANY INDICATES THEY RECEIVED A LETTER FROM LORD ABBOTT INDICATING THEY WERE NO LONGER HANDLING SMALL COMPANIES' 401K PLANS. THEY STATE THEY TALKED TO THEIR FA AND A REPRESENTATIVE FROM THE HARTFORD AND ASKED HOW MUCH IT WOULD COST TO SWITCH THE PLAN. THE PRESIDENT INDICATES HE WAS INFORMED THERE WOULD BE NO CHARGES SINCE LORD ABBOTT WAS REFERRING THE HARTFORD. THEY INDICATE THAT WHEN THEY RECEIVED THEIR END OF YEAR STATEMENT FOR 2010, THEY DISCOVERED THEY WERE CHARGED APPROXIMATELY \$12,000 IN CDSC FEES. THEY WOULD LIKE TO BE REIMBURSED THESE FEES DUE TO THE LETTER THEY RECEIVED AND THE ADVICE OF THEIR FORMER FINANCIAL ADVISOR.

Product Type: Mutual Fund

Alleged Damages: \$12,000.00

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: 12/23/2011

Complaint Pending? No

Status: Denied

Status Date: 03/14/2012

Settlement Amount:

Individual Contribution Amount:

Firm Statement

UPON REVIEW, THE 401(K) PLAN FOR MODERN WASTE SYSTEMS INC. INCLUDED LORD ABBETT MUTUAL FUNDS THAT WERE HELD WITH PAI, THE THIRD PARTY ADMINISTRATOR FOR THE PLAN. IN 2009, LORD ABBETT ANNOUNCED PLANS CONCERNING AN EXIT FROM 401(K) PLANS WITH SMALL BUSINESSES. LORD ABBETT INDICATED THAT EXISTING PLANS COULD BE MAINTAINED WITH LORD ABBETT WITHOUT IMPACT TO THE PLAN; HOWEVER, NO NEW PLANS COULD BE ESTABLISHED WITH LORD ABBETT. LORD ABBETT OFFERED TO WAIVE CONTINGENT DEFERRED SALE CHARGE ("CDSC") FEES FOR CERTAIN PLANS HELD WITH DST, A THIRD PARTY ADMINISTRATOR. THE FIRM'S RECORDS INDICATE THE MUTUAL FUNDS HELD WITHIN THIS PLAN WERE LIQUIDATED IN MAY 2010 AT THE PLAN TRUSTEE'S DIRECTION. WHEN THE CLIENT RAISED QUESTIONS ABOUT THE PAYMENT OF CDSC FEES APPLIED TO MUTUAL FUNDS WITHIN PARTICIPANT ACCOUNTS TO THE CURRENT FINANCIAL ADVISOR REACHED OUT TO LORD ABBETT TO REVIEW THE SITUATION. CLASS B SHARES OF MUTUAL FUNDS CARRY A CDSC, WHICH IS PAID BY THE INDIVIDUAL INVESTOR WHEN THEY SELL A CLASS B SHARE WITHIN A SPECIFIED NUMBER OF YEARS OF THE DATE OF ORIGINAL PURCHASE OF THE MUTUAL FUND. IN MARCH 2011, THE CLIENT WAS INFORMED THAT THE CDSC FEES WOULD NOT BE REIMBURSED BECAUSE THE TYPE OF PLAN HELD BY MODERN WASTE SYSTEMS INC. WAS NOT INCLUDED IN LORD ABBETT'S OFFER TO WAIVE CDSC FEES. THE CDSC FEES WERE APPLIED BY THE MUTUAL FUND COMPANY ACCORDINGLY. IN LIGHT OF THESE CIRCUMSTANCES, THE REQUEST FOR REIMBURSEMENT OF THE CDSC FEES CHARGED TO THE 401(K) PLAN FOR MODERN WASTE SYSTEMS INC. BY LORD ABBETT IS RESPECTFULLY DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE** FROM 5/28/2010 THE PRESIDENT OF THE COMPANY INDICATES THEY RECEIVED A LETTER FROM LORD ABBOTT INDICATING THEY WERE NO LONGER HANDLING SMALL COMPANIES' 401K PLANS. THEY STATE THEY TALKED TO THEIR FA AND A REPRESENTATIVE FROM HARTFORD AND ASKED HOW MUCH IT WOULD COST TO SWITCH THE PLAN. THE PRESIDENT INDICATES HE WAS INFORMED THERE WOULD BE NO CHARGES SINCE LORD ABBOTT WAS REFERRING HARTFORD. THEY INDICATED THAT WHEN THEY RECEIVED THEIR END OF YEAR STATEMENT FOR 2010, THEY DISCOVERED THEY WERE CHARGED APPROXIMATELY \$12,000 IN CDSC FEES. THEY WOULD LIKE TO BE REIMBURSED THESE FEES DUE TO THE LETTER THEY RECEIVED AND THE ADVICE OF THEIR FORMER FINANCIAL ADVISOR.



Product Type: Mutual Fund

Alleged Damages: \$12,000.00

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: 12/23/2011

Complaint Pending? No

Status: Denied

Status Date: 03/14/2012

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE UPON REVIEW, THE 401(K) PLAN FOR MODERN WASTE SYSTEMS INC. INCLUDED LORD ABBETT MUTUAL FUNDS THAT WERE HELD WITH PAI, THE THIRD PARTY ADMINISTRATOR FOR THE PLAN. IN 2009, LORD ABBETT ANNOUNCED PLANS CONCERNING AN EXIT FROM 401(K) PLANS WITH SMALL BUSINESSES. LORD ABBETT INDICATED THAT EXISTING PLANS COULD BE MAINTAINED WITH LORD ABBETT WITHOUT IMPACT TO THE PLAN; HOWEVER, NO NEW PLANS COULD BE ESTABLISHED WITH LORD ABBETT. LORD ABBETT OFFERED TO WAIVE CONTINGENT DEFERRED SALE CHARGE ("CDSC") FEES FOR CERTAIN PLANS HELD WITH DST, A THIRD PARTY ADMINISTRATOR. THE FIRM'S RECORDS INDICATE THE MUTUAL FUNDS HELD WITHIN THIS PLAN WERE LIQUIDATED IN MAY 2010 AT THE PLAN TRUSTEE'S DIRECTION. WHEN THE CLIENT RAISED QUESTIONS ABOUT THE PAYMENT OF CDSC FEES APPLIED TO MUTUAL FUNDS WITHIN PARTICIPANT ACCOUNTS TO THE CURRENT FINANCIAL ADVISOR REACHED OUT TO LORD ABBETT TO REVIEW THE SITUATION. CLASS B SHARES OF MUTUAL FUNDS CARRY A CDSC, WHICH IS PAID BY THE INDIVIDUAL INVESTOR WHEN THEY SELL A CLASS B SHARE WITHIN A SPECIFIED NUMBER OF YEARS OF THE DATE OF ORIGINAL PURCHASE OF THE MUTUAL FUND. IN MARCH 2011, THE CLIENT WAS INFORMED THAT THE CDSC FEES WOULD NOT BE REIMBURSED BECAUSE THE TYPE OF PLAN HELD BY MODERN WASTE SYSTEMS INC. WAS NOT INCLUDED IN LORD ABBETT'S OFFER TO WAIVE CDSC FEES. THE CDSC FEES WERE APPLIED BY THE MUTUAL FUND COMPANY ACCORDINGLY. IN LIGHT OF THESE CIRCUMSTANCES, THE REQUEST FOR REIMBURSEMENT OF THE CDSC FEES CHARGED TO THE 401(K) PLAN FOR MODERN WASTE SYSTEMS INC. BY LORD ABBETT IS RESPECTFULLY DENIED.

Disclosure 2 of 2

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** EDWARD JONES



Allegations: 7/1/07-10/23/08; THE CLIENT ALLEGED THAT THEY WANTED TO INVEST THESE FUNDS IN SAFE INVESTMENTS THAT WOULD INCREASE IN VALUE OVER TIME. THE CLIENT FELT THAT SHE WAS GIVEN POOR ADVICE AND VERY LITTLE SUPPORT DURING THE PAST YEAR AND AS A RESULT THE VALUE OF HER ACCOUNT DECLINED BY APPROXIMATELY \$35,000.00, WHEN SHE FINALLY LIQUIDATED HER FUNDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/23/2008

Complaint Pending? No

Status: Denied

Status Date: 11/04/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FA PROPERLY DISCLOSED THE FEATURES OF THESE MUTUAL FUNDS PRIOR TO PURCHASE TO INCLUDE MARKET RISK, COMMISSIONS AND BREAKPOINTS. THE MUTUAL FUNDS THAT WERE PURCHASED MET THE CLIENT'S INVESTMENT OBJECTIVES. THE CLIENT'S REQUEST FOR REIMBURSEMENT OF THE COMMISSIONS WAS DENIED.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: EDWARD JONES

Termination Type: Discharged

Termination Date: 10/21/2010

Allegations: WALTON'S EMPLOYMENT WAS TERMINATED AFTER SHE ADMITTED SHE KNEW THAT HER FORMER BRANCH OFFICE ADMINISTRATOR HAD COMPLETED THREE STATE INSURANCE CONTINUING EDUCATION COURSES FOR WALTON IN JUNE 2006. WALTON FAILED TO NOTIFY THE FIRM OR TAKE SUFFICIENT ACTION AFTER BECOMING AWARE OF THIS ACTIVITY. WALTON ALSO ADMITTED TO ACCEPTING ORDERS PASSED ON TO HER FROM NON-REGISTERED ASSOCIATES WITHOUT CALLING THE CLIENTS BACK TO CONFIRM THE ORDERS.

Product Type: No Product

Reporting Source: Individual

Firm Name: EDWARD JONES

Termination Type: Discharged

Termination Date: 10/21/2010

Allegations: EDWARD JONES ALLEGES IMPROPER COMPLETION OF INSURANCE CONTINUING EDUCATION FROM 4 YEARS AGO (2006).

Product Type: No Product



End of Report

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