IAPD Report

JUDITH LYNN MCDANIEL

CRD# 706142

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JUDITH LYNN MCDANIEL (CRD# 706142)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALLWORTH FINANCIAL, L.P.	CRD# 111167	04/26/2023
B	AW SECURITIES	CRD# 103747	04/28/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	AFFINITY FINANCIAL ADVISORS	114412	LAWRENCE, KS	06/29/1987 - 08/15/2023
IA	CETERA ADVISOR NETWORKS LLC	13572	LAWRENCE, KS	03/04/2006 - 04/20/2023
B	CETERA ADVISOR NETWORKS LLC	13572	LAWRENCE, KS	11/07/2005 - 04/20/2023

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

Employment 1 of 2

Firm Name: **AW SECURITIES**

Main Address: 340 PALLADIO PKWY
SUITE 501
FOLSOM, CA 95630

Firm ID#: 103747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/28/2023
B	Arizona	Agent	Approved	05/09/2023
B	California	Agent	Approved	04/28/2023
B	District of Columbia	Agent	Approved	04/28/2023
B	Florida	Agent	Approved	05/01/2023
B	Georgia	Agent	Approved	05/01/2023
B	Illinois	Agent	Approved	05/03/2023
B	Indiana	Agent	Approved	07/11/2023
B	Iowa	Agent	Approved	05/04/2023
B	Kansas	Agent	Approved	04/28/2023
B	Kentucky	Agent	Approved	05/01/2023
B	Louisiana	Agent	Approved	05/02/2023
B	Maryland	Agent	Approved	05/04/2023

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	05/01/2023
B	Michigan	Agent	Approved	05/02/2023
B	Missouri	Agent	Approved	04/28/2023
B	Nebraska	Agent	Approved	05/01/2023
B	New Mexico	Agent	Approved	05/01/2023
B	New York	Agent	Approved	04/29/2023
B	North Carolina	Agent	Approved	05/01/2023
B	Ohio	Agent	Approved	04/28/2023
B	Oklahoma	Agent	Approved	05/01/2023
B	Oregon	Agent	Approved	05/08/2023
B	Pennsylvania	Agent	Approved	05/01/2023
B	South Carolina	Agent	Approved	05/02/2023
B	Texas	Agent	Approved	04/28/2023
B	Utah	Agent	Approved	05/01/2023
B	Virginia	Agent	Approved	05/01/2023
B	Washington	Agent	Approved	09/06/2023
B	Wisconsin	Agent	Approved	05/02/2023

Branch Office Locations

AW SECURITIES
3705 Clinton Pkwy

Qualifications

Suite 200
Lawrence, KS 66047

AW SECURITIES
3705 Clinton Parkway
Lawrence, KS 66047

Employment 2 of 2

Firm Name: **ALLWORTH FINANCIAL, L.P.**

Main Address: 340 PALLADIO PKWY.
SUITE 501
FOLSOM, CA 95630

Firm ID#: 111167

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/26/2023
IA	Kansas	Investment Adviser Representative	Approved	04/26/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	04/26/2023

Branch Office Locations

ALLWORTH FINANCIAL, L.P.
3705 Clinton Pkwy
Suite 200
Lawrence, KS 66047

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 1 state securities law exam.

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	01/16/1988
B	Registered Representative Examination (S1)	Series 1	03/13/1980

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/1980

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	06/29/1987 - 08/15/2023	AFFINITY FINANCIAL ADVISORS	CRD# 114412	LAWRENCE, KS
IA	03/04/2006 - 04/20/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	LAWRENCE, KS
B	11/07/2005 - 04/20/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	LAWRENCE, KS
B	06/10/2003 - 12/01/2005	BLUE VASE SECURITIES, LLC	CRD# 46765	WASHINGTON, PA
IA	05/17/2001 - 05/30/2003	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	LAWRENCE, KS
B	05/16/2001 - 05/30/2003	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	WALTHAM, MA
B	11/06/2000 - 05/17/2001	THE CONCORD EQUITY GROUP, LLC	CRD# 14569	ISELIN, NJ
B	02/18/1994 - 11/06/2000	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	03/02/1988 - 02/26/1998	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	04/26/1985 - 12/31/1993	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	03/20/1980 - 04/25/1985	NEL EQUITY SERVICES CORPORATION	CRD# 615	

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
04/2023 - Present	AW Securities	Investment Advisor Representative	Y	Folsom, CA, United States
04/2021 - 04/2023	AFA INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAWRENCE, KS, United States
01/2020 - 04/2023	AFA INC DBA AFFINITY FINANCIAL ADVISORS	CO-OWNER	Y	LAWRENCE, KS, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2013 - 04/2023	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE/IAR	Y	EL SEGUNDO, CA, United States
12/2009 - 04/2023	AFA INC DBA MCDANIEL KNUTSON FINANCIAL PARTNERS	CO-OWNER / FINANCIAL PROFESSIONAL	Y	LAWRENCE, KS, 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-FIXED INSURANCE WITH VARIOUS COMPANIES, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FIXED INSURANCE, INSURANCE AGENT, APX NUMBER OF HOURS PER WEEK: VARIES, APX # OF HOURS DURING TRADING HOURS: VARIES, SELLS LIFE, DISABILITY, ANNUITIES AND LONG-TERM CARE

2-NAME OF OTHER BUSINESS: DOUGLAS COUNTY CASA INC ;
INVESTMENT RELATED: NO ;
1009 NEW HAMPSHIRE STE A & B, LAWRENCE, KS 66044 ;
NATURE OF BUSINESS: CHILD ADVOCACY ;
START DATE: 01/2017 ;
POSITION/TITLE/RELATIONSHIP: ADVOCATE
APX # OF HOURS PER WEEK: 2 ;
APX # OF HOURS DURING TRADING HOURS: 2 ;
BRIEF DESCRIPTION OF DUTIES: REPRESENT THE CHILDS WISHES TO THE COURT ;

3-NAME OF OTHER BUSINESS: NATIONAL ASSOCIATION OF INSURANCE & FINANCIAL ADVISORS(NAIFA); INVESTMENT RELATED: NO; 25 S KANSAS AVE STE 500 TOPEKA, KS 66612; NATURE OF BUSINESS: NON-PROFIT GROUP; START DATE: 7/2021; POSITION/TITLE/RELATIONSHIP: INVESTMENT COMMITTEE MEMBER ; APX NUMBER OF HOURS PER WEEK: LESS THAN 1 HOUR; APX # OF HOURS DURING TRADING HOURS: LESS THAN 1; BRIEF DESCRIPTION OF DUTIES: LEAD DISCUSSION ON INVESTMENT RISK;

4-NAME OF OTHER BUSINESS: AFA INC DBA MCDANIEL KNUTSON FINANCIAL PARTNERS ;
INVESTMENT RELATED: YES ;
SAME AS REGISTERED LOCATION ;
NATURE OF BUSINESS: FINANCIAL SERVICES ;
START DATE: 04/2021 ;
POSITION/TITLE/RELATIONSHIP: CO-OWNER / FINANCIAL PROFESSIONAL ;
APX # OF HOURS PER WEEK: 15-20
APX # OF HOURS DURING TRADING HOURS: 15-20 ;
BRIEF DESCRIPTION OF DUTIES: FINANCIAL SERVICES ;

5. Corkel Inc, LLC - owned by the McDaniel Family Living Trust of which I am a trustee - started in 10/2025 - no hours are devoted to this per month, and compensation is 33 1/3% of the profits earned - this was created for the benefit of our children Corrie & Kevin, to which the other 66 2/3% of profits go to.

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	1

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:	KANSAS STATE INSURANCE DEPT.
Sanction(s) Sought:	Reprimand
Other Sanction(s) Sought:	REPRIMAND FOR PRESENTING PROPOSAL WITHOUT PROPER APPOINTMENT FROM INSURANCE COMPANY INVOLVED.
Date Initiated:	05/01/1982
Docket/Case Number:	KSA 40-2406/KSA 40-2407
Employing firm when activity occurred which led to the regulatory action:	MUTUAL SERVICE CORP. WEST PALM BEACH, FL
Product Type:	Insurance
Other Product Type(s):	GROUP MEDICAL INSURANCE
Allegations:	THAT I REPRESENTED A GROUP HEALTH INSURANCE PRODUCT WHEN I WAS NOT FULLY LICENSED WITH THE INSURANCE COMPANY
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/07/1983
Sanctions Ordered:	
Other Sanctions Ordered:	REPRIMAND WITH PERMANENT NOTE IN FILE.
Sanction Details:	A PERMANENT NOTE (COPY OF THE CONSENT ORDER) WAS

	PUT IN MY FILE. THERE WERE NO FINES OR FURTHER DISIPLINARY ACTION.
Broker Statement	IN MAY OF 1982 I PRESENTED GROUP HEALTH INSURANCE TO MESSERAUL PRINTING. BOTH MYSELF AND MESSERAUL MISREAD THE ILLUSTRATION FROM THE INVOLVED INSURANCE COMPANY. THE COMPANY WAS ENROLLED. WHEN THE COMPANY RECEIVED THE 1ST MONTHS BILL AND SAW THE ACTUAL PREMIUM, THEY WENT TO THE KS INS. COMMISSIONER. IT WAS NOT MY INTENTION TO MISLEAD THE COMPANY, IT WAS A MISTAKE ON MY PART. AS A RESULT OF THE INS. DEPARTMENTS INVESTIGATION I WAS REPRIMANDED ONLY FOR SHOWING A PROPOSAL FROM A COMPANY WHICH I WAS NOT PROPERLY LICENSED WITH AT THE TIME I MADE THE PRESENTATION.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CUSTOMERS ALLEGE IMPROPER DISCLOSURE OF MANAGEMENT FEES
Product Type:	Other
Other Product Type(s):	ADVISORY ACCOUNT
Alleged Damages:	$9,807.00

Customer Complaint Information

Date Complaint Received:	04/30/2007
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/02/2007
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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