



# **Form ADV Part 2B Brochure Supplement**

**D. Robin Walker**

**Walker Asset Management, LLC**

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This Brochure Supplement provides information about D. Robin Walker that supplements the Walker Asset Management, LLC (WAM) Brochure which you should have received. Please contact us at (417) 235-9125 if you did not receive the WAM Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Walker is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

D. Robin Walker, born in 1957, is the Owner of Walker Asset Management, a firm he founded in 08/2016. From 07/2013 through 02/2017, he was an investment advisor representative for SignalPoint Asset Management, LLC, a firm in which he continues to have ownership interest. Prior to that, he was a registered representative for Wells Fargo Advisors Financial Network from 05/2009 to 07/2013, and its predecessor, Wachovia Securities Financial Network, LLC from 03/2007 to 05/2009. Prior to that, he was a financial advisor for Morgan Stanley DW, Inc. from 02/2001 to 03/2007 and an account executive for Merrill Lynch, Pierce, Fenner & Smith, Inc. from 06/1982 to 02/2001.

Mr. Walker earned a Bachelor of Science Degree in Business Administration from the University of Arkansas in 1982.

## **Item 3- Disciplinary Information**

Mr. Walker was subject to an SEC administrative proceeding in 2014 related to his participation in SignalPoint Asset Management LLC, an investment advisory firm partially owned by Mr. Walker. At the time, he was alleged to have failed to disclose all material facts concerning the extent of his control of and participation in SignalPoint, and to have failed to disclose potential conflicts of interest related to his personal interest in Signal Point. In order to resolve the SEC matter, Mr. Walker consented to a censure, a cease and desist order, and a monetary fine.

Mr. Walker was also subject to a FINRA administrative proceeding in 2015 related to the same matter. While employed by a FINRA member broker dealer, Mr. Walker was alleged to have engaged in an outside business activity with an unrelated investment advisory firm (SignalPoint) without adequately disclosing the activity to his employer in violation of FINRA rules. Although his employer was made aware of Mr. Walker's wishes, the firm alleged that they were not properly notified of Mr. Walker's active participation, management, and control of SignalPoint. In order to resolve the FINRA matter, Mr. Walker consented to an 18-month FINRA membership suspension and a contingently suspended monetary penalty.

Related to the same matter referenced above, Mr. Walker also suspended for a period of one year from using his CFP® (Certified Financial Planner) credential by the CFP Board.

Mr. Walker is currently not subject to, nor has ever been subject to, any other reportable legal or disciplinary events.

## **Item 4 - Other Business Activities**

Mr. Walker, has an ownership interest in SignalPoint Asset Management LLC, a separately owned SEC registered investment advisory firm that he helped form in 2008.

Although Mr. Walker is no longer actively involved in the management or operations of this entity having transitioned his client relationships to WAM, he has retained his partial ownership in SignalPoint Asset Management LLC. Clients should be aware that conducting business with this entity may create a conflict of interest due to Mr. Walker's ownership interest. To address potential conflicts of interest, the firm will make disclosures to clients in advance, will adjust fees were applicable, and will not require clients to conduct business with any related entities or entities in which Mr. Walker has ownership interest.

Mr. Walker has no other business activities.

#### **Item 5 - Additional Compensation**

Mr. Walker does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

#### **Item 6 - Supervision**

Molly Crider is the Chief Compliance Officer of WAM. She is responsible for overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives, including D. Robin Walker. Molly Crider can be contacted at (417) 300-4167.