



IAPD Report

YITZCHOK ASHER GOODMAN

CRD# 1052215

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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

YITZCHOK ASHER GOODMAN (CRD# 1052215)

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 **11/21/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	04/03/2019
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	07/22/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
B	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY	03/27/2019 - 07/22/2022
B	MORGAN STANLEY	149777	NEW YORK, NY	06/01/2009 - 09/05/2018
IA	MORGAN STANLEY	149777	NEW YORK, NY	06/01/2009 - 09/05/2018

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	5
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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **B. RILEY WEALTH MANAGEMENT**
Main Address: 40 SOUTH MAIN
SUITE 1600
MEMPHIS, TN 38103
Firm ID#: 2543

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/22/2022
B California	Agent	Approved	07/22/2022
B Colorado	Agent	Approved	07/22/2022
B Connecticut	Agent	Approved	07/22/2022
B Florida	Agent	Approved	07/22/2022
B Maryland	Agent	Approved	07/22/2022
B Michigan	Agent	Approved	07/28/2022
B New Jersey	Agent	Approved	07/22/2022
B New York	Agent	Approved	07/22/2022
B Ohio	Agent	Approved	01/19/2024
B Pennsylvania	Agent	Approved	07/22/2022

Branch Office Locations

B RILEY WEALTH MANAGEMENT
Brooklyn, NY



Qualifications

Employment 2 of 2

Firm Name: **B. RILEY WEALTH ADVISORS, INC.**
Main Address: 40 S. MAIN ST.
SUITE 1600
MEMPHIS, TN 38103
Firm ID#: 115927

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/03/2019
IA	New York	Investment Adviser Representative	Approved	12/01/2021

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
Brooklyn, NY



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
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	09/05/2018
 National Commodity Futures Examination (S3)	Series 3	03/27/1984
 General Securities Representative Examination (S7)	Series 7	05/17/1982

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/29/2021
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1983

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
B	03/27/2019 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
B	06/01/2009 - 09/05/2018	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
IA	06/01/2009 - 09/05/2018	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
IA	10/26/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	05/22/1984 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/01/1982 - 06/04/1984	ADVEST, INC.	CRD# 10	

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
07/2022 - Present	B. RILEY WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	MEMPHIS, TN, United States
07/2022 - Present	B. RILEY WEALTH MANAGEMENT	REGISTERED REPRESENTATIVE	Y	MEMPHIS, TN, United States
03/2019 - 07/2022	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2019 - 07/2022	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
09/2018 - 02/2019	UNEMPLOYED	UNEMPLOYED	N	BROOKLYN, NY, United States
01/2015 - 08/2018	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 08/2018	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	NEW YORK, NY, United States



Registration & Employment History



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) B. RILEY WEALTH INSURANCE; INVESTMENT RELATED; 2-10 BROAD STREET SUITE 203/303 RED BANK, NJ, USA, 07701; INSURANCE SALES; AGENT; START DATE: 2022, 30 MIN/ WEEK DURING SECURITIES TRADING HRS.



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	5
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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	COMPLAINT ABOUT AUCTION RATE SECURITIES THAT ALLEGED MISREPRESENTATION, INTER ALIA, 05/07/2008 - 11/30/2010
Product Type:	Debt-Municipal Other: AUCTION RATE SECURITY
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	12/15/2010
Complaint Pending?	No
Status:	Settled



Status Date: 03/31/2011
Settlement Amount: \$364,999.88
Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.

Allegations: COMPLAINT ABOUT AUCTION RATE SECURITIES THAT ALLEGED UNAUTHORIZED TRADING. DAMAGES UNSPECIFIED.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00

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: 03/31/2008

Complaint Pending? No

Status: Settled

Status Date: 12/13/2008

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Disclosure 3 of 5

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGED MUTUAL FUNDS WERE MISREPRESENTED - JULY 1998 - MARCH 2000.

Product Type: Mutual Fund(s)

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 05/02/2005

Complaint Pending? No

Status: Settled

Status Date: 01/10/2006

Settlement Amount: \$9,500.00

Individual Contribution Amount: \$0.00

Broker Statement THE CLAIM WAS SETTLED FOR \$9,500.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: FAILURE TO FOLLOW LIQUIDATION INSTRUCTIONS ON 7/10/02 AND IMPROPERLY CHARGED MANAGEMENT FEES FOR PERIOD ENDING 9/02.
TIME PERIOD: 7/02 TO 9/02
TIME PERIOD: 7/02 TO 7/02

Product Type: Equity - OTC

Alleged Damages: \$92,784.97

Customer Complaint Information

Date Complaint Received: 12/03/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/03/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE DOCKET NO. 2002-011064](#)

Date Notice/Process Served: 12/03/2002

Arbitration Pending? No



Disposition: Award to Customer

Disposition Date: 04/11/2003

Monetary Compensation Amount: \$51,988.65

Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: SMITH BARNEY SHEARSON, INC., F/K/A SHEARSON LEHMAN HUTTON

Allegations: SUITABILITY

Product Type:

Alleged Damages: \$5,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #94-01646](#)

Date Notice/Process Served: 07/20/1994

Arbitration Pending? No

Disposition: Other

Disposition Date: 07/25/1995

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$5,000.00 JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY SHEARSON, INC., F/K/A SHEARSON LEHMAN HUTTON

Allegations: UNSUITABILITY

Product Type:

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/25/1995

Settlement Amount:



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [NASD.: 94-01646](#)

Date Notice/Process Served: 07/20/1994

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/25/1995

**Monetary Compensation
Amount:** \$5,000.00

**Individual Contribution
Amount:**

Broker Statement

SMITH BARNEY SHEARSON AND MR. GOODMAN WERE FOUND
JOINTLY AND SEVERALLY LIABLE TO CLAIMANT FOR \$5,000 IN DAMAGES
PLUS 9% INTEREST SINCE THE LAST QUARTERLY DISTRIBUTION OF THE
PARTNERSHIP (11/15/94)
CONTACT: ANN PARRY (212) 816-8004
Not Provided



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: MSWM
Termination Type: Discharged
Termination Date: 08/06/2018
Allegations: Allegations regarding the completeness and accuracy of certain account records and some account activity.
Product Type: CD
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Mutual Fund

Reporting Source: Individual
Firm Name: MORGAN STANLEY
Termination Type: Discharged
Termination Date: 08/06/2018
Allegations: Allegations regarding the completeness and accuracy of certain account records and some account activity.
Product Type: CD
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Mutual Fund



End of Report

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