



IAPD Report

MICHAEL ANTHONY MULLEN

CRD# 1428116

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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

MICHAEL ANTHONY MULLEN (CRD# 1428116)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	01/13/2012
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	03/16/2021
IA	B. RILEY WEALTH PRIVATE SHARES	CRD# 315851	04/04/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	B RILEY WEALTH MANAGEMENT	2543	Boca Raton, FL	03/17/2021 - 12/31/2022
B	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY	05/30/2008 - 07/22/2022
B	WINSLOW, EVANS & CROCKER, INC.	29686	BOSTON, MA	01/23/2020 - 06/10/2021

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



Report Summary



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

Employment 1 of 3

Firm Name: **B. RILEY WEALTH PRIVATE SHARES**
Main Address: 40 S. MAIN ST.
SUITE 1600
MEMPHIS, TN 38103
Firm ID#: 315851

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	04/04/2023

Branch Office Locations

B. RILEY WEALTH PRIVATE SHARES
2-10 Broad St.
Suite 203/303
Red Bank, NJ 07701

Employment 2 of 3

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 Principal	Approved	03/16/2021
B FINRA	General Securities Representative	Approved	03/16/2021
B FINRA	Operations Professional	Approved	03/16/2021
B FINRA	Registered Options Principal	Approved	03/16/2021
B Alabama	Agent	Approved	07/22/2022



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	07/22/2022
B Arizona	Agent	Approved	07/22/2022
B Arkansas	Agent	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 Delaware	Agent	Approved	07/22/2022
B District of Columbia	Agent	Approved	07/22/2022
B Florida	Agent	Approved	07/22/2022
B Georgia	Agent	Approved	07/22/2022
B Hawaii	Agent	Approved	07/22/2022
B Idaho	Agent	Approved	07/22/2022
B Illinois	Agent	Approved	07/22/2022
B Indiana	Agent	Approved	07/22/2022
B Iowa	Agent	Approved	07/22/2022
B Kansas	Agent	Approved	07/22/2022
B Kentucky	Agent	Approved	07/22/2022
B Louisiana	Agent	Approved	07/22/2022
B Maine	Agent	Approved	07/22/2022



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	07/22/2022
B Massachusetts	Agent	Approved	07/22/2022
B Michigan	Agent	Approved	07/22/2022
B Minnesota	Agent	Approved	07/22/2022
B Mississippi	Agent	Approved	07/22/2022
B Missouri	Agent	Approved	07/22/2022
B Montana	Agent	Approved	07/22/2022
B Nebraska	Agent	Approved	07/22/2022
B Nevada	Agent	Approved	07/22/2022
B New Hampshire	Agent	Approved	07/22/2022
B New Jersey	Agent	Approved	03/16/2021
B New Mexico	Agent	Approved	07/22/2022
B New York	Agent	Approved	03/16/2021
B North Carolina	Agent	Approved	07/22/2022
B North Dakota	Agent	Approved	07/22/2022
B Ohio	Agent	Approved	07/22/2022
B Oklahoma	Agent	Approved	07/22/2022
B Oregon	Agent	Approved	07/22/2022
B Pennsylvania	Agent	Approved	07/22/2022



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	07/22/2022
B South Carolina	Agent	Approved	07/22/2022
B South Dakota	Agent	Approved	07/22/2022
B Tennessee	Agent	Approved	07/22/2022
B Texas	Agent	Approved	07/22/2022
B Utah	Agent	Approved	07/22/2022
B Vermont	Agent	Approved	07/22/2022
B Virginia	Agent	Approved	07/22/2022
B Washington	Agent	Approved	07/22/2022
B West Virginia	Agent	Approved	07/22/2022
B Wisconsin	Agent	Approved	07/22/2022
B Wyoming	Agent	Approved	07/22/2022

Branch Office Locations

B RILEY WEALTH MANAGEMENT

10 BROAD STREET
SUITE 203/303
RED BANK, NJ 07701

Employment 3 of 3

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



Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	01/13/2012
IA New York	Investment Adviser Representative	Approved	06/23/2021

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
2-10 Broad St.
Suite 203/303
Red Bank, NJ 07701





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	12/05/2006
 General Securities Principal Examination (S24)	Series 24	04/08/1994

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/19/1989

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/31/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1989

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	03/17/2021 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Boca Raton, FL
B	05/30/2008 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
B	01/23/2020 - 06/10/2021	WINSLOW, EVANS & CROCKER, INC.	CRD# 29686	BOSTON, MA
B	04/12/2006 - 06/06/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	STATEN ISLAND, NY
B	04/25/1994 - 04/28/2006	JOSEPH STEVENS & COMPANY, INC.	CRD# 35459	STATEN ISLAND, NY
B	08/29/1991 - 05/02/1994	A.S. GOLDMEN & CO., INC.	CRD# 23180	RED BANK, NJ
B	08/22/1989 - 08/16/1991	D. H. BLAIR & CO., INC.	CRD# 6833	NEW YORK, NY

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 Management	CEO	Y	Red Bank, NJ, United States
01/2012 - Present	B. Riley Wealth Advisors	CEO	Y	Red Bank, NJ, United States
03/2021 - 07/2022	B.Riley Wealth Management, Inc.	Registered Representative	Y	Memphis, TN, United States
01/2020 - 07/2022	WINSLOW FINANCIAL, INC.	CEO. DIRECTOR	Y	BOSTON, MA, United States
01/2020 - 07/2022	Winslow, Evans & Crocker, Inc.	CEO. DIRECTOR	Y	Boston, MA, United States
05/2008 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	STATEN ISLAND, 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) THE BIOTECH GROUP ; INVESTMENT-RELATED; RED BANK, NJ; BRANCH BUSINESS EXPENSES; MANAGING MEMBER; START DATE: 04/2010; 10 HRS/MONTH, 0 DURING TRADING HOURS; I MANAGE MY BRANCH EXPENSES THROUGH MY LLC FOR ACCOUNTING PURPOSES...
- 2) B. RILEY WEALTH INSURANCE; INVESTMENT-RELATED; RED BANK, NJ; CHAIRMAN, AGENT; INSURANCE SALES; START DATE: 05/2011; 10 HRS/MONTH, ALL DURING TRADING HOURS...
- 3) MULLEN GROUP PARTNERS, LLC; 3105 QUENTIN RD BROOKLYN, NY; CONSULTING & REAL ESTATE INVESTING; OWNER; 0 HRS/MONTH; NON INVESTMENT-RELATED; INACTIVE...
- 4) B. RILEY WEALTH TAX SERVICES; NON INVESTMENT-RELATED; SAME ADDRESS AS BRWM; BOARD OF DIRECTORS....
- 5) NAM SPECIAL SITUATIONS MANAGMENT LLC; ENTITY SERVES AS THE INVESTMENT MANAGER OF NAM SPECIAL SITUATIONS FUNDS; MANAGING MEMBER; 2 HRS/MONTH, ALL DURING TRADING HRS; INVESTMENT RELATED....
- 6) B. RILEY PRIVATE SHARES MANAGEMENT 2022-1, LLC; SAME ADDRESS AS B. RILEY WEALTH; INVESTMENT-RELATED; MEMBER; START DATE 06/2022; ENTITY SERVES AS THE MANAGER OF B. RILEY PRIVATE SHARES FUNDS; 2 HRS/MONTH, DURING TRADING HOURS...
- 7)B. RILEY WEALTH MANAGEMENT HOLDING, INC; INVESTMENT RELATED; 40 S. MAIN ST SUITE 1600 MEMPHIS TN 38103; CHIEF EXECUTIVE OFFICER; PARENT ENTITY OF ALL B. RILEY WEALTH ENTITIES; START DATE 4/2025; LESS THAN 1 HOUR/MONTH DEVOTED DURING SECURITIES TRADING HOURS.



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: Regulator

Regulatory Action Initiated By: HAWAII SECURITIES ENFORCEMENT UNIT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/25/1990

Docket/Case Number: SEU-89-80

Employing firm when activity occurred which led to the regulatory action: D.H. BLAIR & CO., INC.

Product Type:

Other Product Type(s):

Allegations: OFFER AND SALE OF SECURITIES BY AN UNREGISTERED SALESPERSON.

Current Status: Final

Resolution: Consent

Resolution Date: 10/25/1990

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: A CONSENT AGREEMENT WAS EXECUTED ON 10/25/90 WHEREBY, MICHAEL ANTHONY MULLEN AGREED TO CONTRIBUTE \$500 TO



THE COMPLIANCE RESOLUTION FUND AND TO A SUSPENSION OF HIS HAWAII REGISTRATION FROM 12/21/89 TO 6/21/90. D. H. BLAIR & CO., INC., ON BEHALF OF MULLEN, WILL OFFER TO RESCIND THE SALE OF SECURITIES TO ONE HAWAII RESIDENT.

Regulator Statement

MICHAEL ANTHONY MULLEN, AN ACCOUNT EXECUTIVE FOR D. H. BLAIR & CO., INC., OFFERED AND SOLD SECURITIES TO ONE HAWAII RESIDENT PRIOR TO BEING REGISTERED IN THE STATE OF HAWAII.

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF HAWAII DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

10/25/1990

Docket/Case Number:

SEU-89-80

Employing firm when activity occurred which led to the regulatory action:

D.H. BLAIR & CO., INC.

Product Type:

Equity - OTC

Other Product Type(s):

Allegations:

THE ALLEGATION WAS THAT I SOLD SECURITIES TO ONE RESIDENT OF THE STATE OF HAWAII PRIOR TO BEING REGISTERED IN THE STATE.

Current Status:

Final

Resolution:

Consent

Resolution Date:

10/25/1990

Sanctions Ordered:

Suspension

Other Sanctions Ordered:

Sanction Details:

I CONTRIBUTED \$500 TO THE COMPLIANCE RESOLUTION FUND ADMINISTERED BY THE SECURITIES ENFORCEMENT UNIT. THE STATE SUSPENDED MY REGISTRATION FOR A PERIOD OF SIX MONTHS RETROACTIVE TO DECEMBER 21, 1989. THE STATE OF HAWAII APPROVED MY SECURITIES LICENSE IN THE STATE ON JUNE 21, 1990.

Broker Statement

NOT PROVIDED



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: Regulator

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & COMPANY, INC.

Allegations: MANIPULATION; MISREPRESENTATION; OMISSION OF FACTS; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$248,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #96-00125](#)

Date Notice/Process Served: 01/18/1996

Arbitration Pending? No

Disposition: Other

Disposition Date: 02/28/1997

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$230,582.41 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL); OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL); TREBLE DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.00 JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JOSEPH STEVENS & COMPANY, INC.

Allegations: MISREPRESENTATION ALLEGED DAMAGES 248,000

Product Type: Equity-OTC

Alleged Damages: \$248,000.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 01/18/1996
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [NASD-CASE #96-00125](#)

Date Notice/Process Served: 01/18/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/28/1997

Monetary Compensation Amount: \$280,582.41

Individual Contribution Amount: \$0.00

Broker Statement

THE ARBITRATION CLAIMANTS WERE CLIENTS THROUGH A JOINT REP NUMBER. THE SERVICING BROKER LEFT THE FIRM AND TOOK THE CLIENTS WITH HIM. SUBSEQUENTLY AN ARBITRATION CLAIM WAS FILED THAT NAMED THE FIRM, THE CEO AND MYSELF. DESPITE THE EVIDENCE PRESENTED; THE PANEL RULED IN THE CUSTOMERS' FAVOR AND AN AWARD WAS GRANTED, A DECISION WHICH I STRONGLY DISAGREED WITH. I MADE NO CONTRIBUTIONS TO THE AWARD; THE ENTIRE AMOUNT WAS PAID BY MY PREVIOUS FIRM.



End of Report

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