



## IAPD Report

**JAY B GADBERRY**

CRD# 1590885

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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

### JAY B GADBERRY (CRD# 1590885)

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 **11/12/2025**.

### CURRENT EMPLOYERS

|    | Firm                           | CRD#        | Registered Since |
|----|--------------------------------|-------------|------------------|
| IA | B. RILEY WEALTH ADVISORS, INC. | CRD# 115927 | 08/03/2017       |
| B  | B. RILEY WEALTH MANAGEMENT     | CRD# 2543   | 07/22/2022       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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   | LITTLE ROCK, AR | 08/02/2017 - 07/22/2022 |
| IA | WFG ADVISORS, LP                | 125073 | LITTLE ROCK, AR | 04/26/2010 - 08/03/2017 |
| B  | WFG INVESTMENTS, INC.           | 22704  | LITTLE ROCK, AR | 04/26/2010 - 08/03/2017 |

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?

**No**



## 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 **15** 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>B</b> | FINRA                | General Securities Principal      | Approved | 07/22/2022 |
| <b>B</b> | FINRA                | General Securities Representative | Approved | 07/22/2022 |
| <b>B</b> | Alabama              | Agent                             | Approved | 11/12/2025 |
| <b>B</b> | Arkansas             | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | California           | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | Colorado             | Agent                             | Approved | 11/05/2024 |
| <b>B</b> | District of Columbia | Agent                             | Approved | 10/06/2025 |
| <b>B</b> | Florida              | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | Illinois             | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | Iowa                 | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | Maryland             | Agent                             | Approved | 08/21/2024 |
| <b>B</b> | Mississippi          | Agent                             | Approved | 07/22/2022 |
| <b>B</b> | Missouri             | Agent                             | Approved | 07/22/2022 |



## Qualifications

|   | Regulator      | Registration | Status   | Date       |
|---|----------------|--------------|----------|------------|
| B | Oklahoma       | Agent        | Approved | 01/17/2024 |
| B | South Carolina | Agent        | Approved | 07/22/2022 |
| B | Tennessee      | Agent        | Approved | 08/10/2023 |
| B | Texas          | Agent        | Approved | 07/22/2022 |

## Branch Office Locations

### B RILEY WEALTH MANAGEMENT

425 W CAPITOL AVE  
SUITE 3500  
LITTLE ROCK, AR 72201

## 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 | Arkansas  | Investment Adviser Representative | Approved            | 08/03/2017 |
| IA | Texas     | Investment Adviser Representative | Restricted Approval | 10/18/2021 |

## Branch Office Locations

### B. RILEY WEALTH ADVISORS, INC.

425 W CAPITOL AVE  
SUITE 3500  
LITTLE ROCK, AR 72201



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
| B | General Securities Principal Examination (S24) | Series 24 | 07/13/2010 |

#### General Industry/Product Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
| B | Securities Industry Essentials Examination (SIE)   | SIE       | 10/01/2018 |
| B | Futures Managed Funds Examination (S31)            | Series 31 | 03/03/1999 |
| B | General Securities Representative Examination (S7) | Series 7  | 11/15/1986 |

#### State Securities Law Exams

|    | Exam   | Category  | Date       |
|----|--|-----------|------------|
| IA | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 07/19/1994 |
| B  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 12/01/1986 |



### 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  | 08/02/2017 - 07/22/2022 | NATIONAL SECURITIES CORPORATION   | CRD# 7569   | LITTLE ROCK, AR |
| IA | 04/26/2010 - 08/03/2017 | WFG ADVISORS, LP                  | CRD# 125073 | LITTLE ROCK, AR |
| B  | 04/26/2010 - 08/03/2017 | WFG INVESTMENTS, INC.             | CRD# 22704  | LITTLE ROCK, AR |
| B  | 06/01/2009 - 04/29/2010 | MORGAN STANLEY SMITH BARNEY       | CRD# 149777 | LITTLE ROCK, AR |
| IA | 06/01/2009 - 04/29/2010 | MORGAN STANLEY SMITH BARNEY LLC   | CRD# 149777 | LITTLE ROCK, AR |
| B  | 04/02/2007 - 06/01/2009 | MORGAN STANLEY & CO. INCORPORATED | CRD# 8209   | LITTLE ROCK, AR |
| IA | 04/02/2007 - 06/01/2009 | MORGAN STANLEY & CO. INCORPORATED | CRD# 8209   | LITTLE ROCK, AR |
| IA | 11/26/2001 - 04/02/2007 | MORGAN STANLEY                    | CRD# 7556   | LITTLE ROCK, AR |
| B  | 11/14/2001 - 04/02/2007 | MORGAN STANLEY DW INC.            | CRD# 7556   | LITTLE ROCK, AR |
| B  | 05/08/1989 - 11/08/2001 | MORGAN KEEGAN & COMPANY, INC.     | CRD# 4161   | MEMPHIS, TN     |
| B  | 11/20/1987 - 05/08/1989 | T. J. RANEY & SONS, INC.          | CRD# 3128   |                 |
| B  | 11/21/1986 - 12/01/1987 | STEPHENS INC.                     | CRD# 3496   |                 |

### 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 | Mass Transfer                     | Y                  | LITTLE ROCK, AR, United States |
| 08/2017 - Present | B. RILEY WEALTH ADVISORS   | INVESTMENT ADVISOR REPRESENTATIVE | Y                  | LITTLE ROCK, AR, United States |
| 08/2017 - 07/2022 | NATIONAL SECURITIES CORP   | REGISTERED REPRESENTATIVE         | Y                  | LITTLE ROCK, AR, United States |



## Registration & Employment History



### EMPLOYMENT HISTORY

| Employment Dates  | Employer Name       | Position                      | Investment Related | Employer Location                 |
|-------------------|---------------------|-------------------------------|--------------------|-----------------------------------|
| 04/2010 - 08/2017 | WFG INVESTMENTS INC | REGISITERED<br>REPRESENTATIVE | Y                  | LITTLE ROCK, AR,<br>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) GADBERRY CAPITAL LLC; NON INVESTMENT RELATED; 56 PEBBLE BEACH DR, LITTLE ROCK, AR 72212; DUCK CLUB PROPERTY; OWNER; START DATE 2/25/2005; 16 HRS/MTH, 3 HRS. DURING TRADING HOURS; MANAGE AND MAINTAIN PROPERTY....
- (2) GADBERRY FINANCIAL GROUP; INVESTMENT RELATED; ADDRESS SAME AS BRWM; DBA FOR FINANCIAL SECURITIES BUSINESS CONDUCTED THROUGH B. RILEY WEALTH MANAGEMENT; START DATE 2010. 40 HOURS / WEEK DEVOTED DURING SECURITIES TRADING HOURS.
- (3) GADBERRY FAMILY PROPERTIES LLC; INVESTMENT RELATED; 16 MASTERS CIRCLE, LITTLE ROCK, AR 72212; FAMILY ESTATE ENTITY; MEMBER; START DATE 12/2001; 0 HRS/MTH, 0 DURING TRADING HOURS...
- (4) B. RILEY WEALTH INSURANCE; INVESTMENT RELATED; FIXED INSURANCE SALES; START DATE 8/2/2017; AGENT...
- (5) INK BAYOU METO HUNTING CLUB; NOT INVESTMENT RELATED; PEBBLE BEACH DR. LITTLE ROCK AR; MANAGING MEMBER; DUCK HUNTING CLUB; START DATE 01/2003; 4 HRS/MONTH, 0 DURING TRADING HOURS...
- (6) ARKANSAS SPORTS HALL OF FAME; NOT INVESTMENT RELATED; 3 VERIZON ARENA WAY LITTLE ROCK, AR; MARKETING COMMITTEE, BOARD MEMBER; PROMOTE ATHLETICS & RECOGNIZE ARKANSAS ATHLETES; START DATE 2015; 2 HRS/MONTH, 0 DURING TRADING HOURS.





## End of Report

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