



IAPD Report

MONTAGUE STEPHAN HENRY

CRD# 1729463

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

MONTAGUE STEPHAN HENRY (CRD# 1729463)

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 **09/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	01/21/2015
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	07/25/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	NEW YORK, NY	01/30/2015 - 12/31/2022
IA	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	02/14/2013 - 01/28/2015
B	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	01/14/2013 - 01/28/2015

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	2
Judgment/Lien	3



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

Employment 1 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 New York	Investment Adviser Representative	Approved	07/25/2022
IA Texas	Investment Adviser Representative	Restricted Approval	07/26/2022

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
299 Park Ave.
21st Floor
New York, NY 10171

Employment 2 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	01/21/2015
B California	Agent	Approved	01/21/2015
B Connecticut	Agent	Approved	01/21/2015
B District of Columbia	Agent	Approved	02/02/2021



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/21/2015
B Georgia	Agent	Approved	01/21/2015
B Hawaii	Agent	Approved	01/21/2015
B Louisiana	Agent	Approved	05/03/2017
B Maryland	Agent	Approved	01/21/2015
B Minnesota	Agent	Approved	05/01/2017
B Mississippi	Agent	Approved	03/23/2017
B New Jersey	Agent	Approved	01/21/2015
B New York	Agent	Approved	01/21/2015
B North Carolina	Agent	Approved	01/21/2015
B Ohio	Agent	Approved	11/30/2017
B Pennsylvania	Agent	Approved	12/08/2017
B Puerto Rico	Agent	Approved	10/08/2015
B Tennessee	Agent	Approved	07/28/2017
B Texas	Agent	Approved	04/25/2017
B Virginia	Agent	Approved	01/21/2015

Branch Office Locations

B RILEY WEALTH MANAGEMENT

299 Park Avenue
21st Floor
New York, NY 10171



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	10/01/2018
National Commodity Futures Examination (S3)	Series 3	10/26/1987
General Securities Representative Examination (S7)	Series 7	09/19/1987

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1987

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	01/30/2015 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	NEW YORK, NY
IA	02/14/2013 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	01/14/2013 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
IA	09/22/2006 - 12/19/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/16/2006 - 12/19/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/31/1993 - 06/27/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	09/22/1987 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	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 ADVISORS, INC	Investment Adviser Representative	Y	New York, NY, United States
01/2015 - Present	B. RILEY WEALTH MANAGEMENT	Registered Representative	Y	New York, NY, 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.

B. Riley Wealth Insurance; Investment-Related; Same Address as BRWM; Fixed Insurance Sales; Licensed Insurance Agent; Start Date 09/2025; As Many Hours As Needed Per Month



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	2
Judgment/Lien	3

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 2

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF NEW JERSEY DEPT OF INSURANCE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/01/1994

Docket/Case Number: 95-173

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

Product Type:

Other Product Type(s):

Allegations: BROKER FAILED TO WITNESS CLIENT EXECUTION OF AN ANNUITY APPLICATION BROKER CHANGED ADDRESS OF HIS PLACE OF BUSINESS WITHOUT NOTIFYING THE NJ DEPT OF INSURANCE BROKER FAILED TO RESPOND WITHIN 15 DAYS TO SUBPOENA & INQUIRIES BECAUSE OF THE ADDRESS CHANGE

Current Status: Final

Resolution: Consent

Resolution Date: 09/24/1996

Sanctions Ordered: Monetary/Fine \$5,000.00



Other Sanctions Ordered:

Sanction Details: BROKER PAID \$5000 FINE IN ACCORDANCE WITH THE TERMS OF THE CONSENT ORDER

Broker Statement I CHANGED OFFICES AND WAS UNAWARE THAT I HAD TO NOTIFY THE INSURANCE DEPT MY FORMER OFFICE ALSO MOVED AT THAT TIME SO ALL SUBPOENAS AND REQUESTS FOR INFORMATION WERE NEVER SENT TO MY NEW ADDRESS BY THE NJS DEPT OF INSURANCE. THE CLIENT RESCINDED HER COMPLAINT AND HAS CONTINUED IN THE POLICY. THE INSURANCE DEPT OF NY DISMISSED HER CLAIM. THE INSURANCE DEPT OF NJ INFORMED ME THAT IF I WERE TO SEEK AN ADMINISTRATIVE HEARING I WOULD BE FOUND GUILTY ON NOT UPDATING MY ADDRESS. I COULD BE FORCED TO PAY A MAXIMUM FINE OF \$5000 AND IF UNSUCCESSFUL ON THE OTHER CHARGES I COULD HAVE ADDITIONAL FINES. I SIMPLY AGREED TO PAY THE \$5000 FINE.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: DISTRICT OF COLUMBIA

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 12/12/1989
Docket/Case Number: 9401

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

Product Type: Other
Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Allegations: CONDUCTED SECURITIES TRANSACTIONS IN THE DISTRICT OF COLUMBIA WHILE NOT LICENCED UNDER THE ACT.

Current Status: Final
Resolution: Decision & Order of Offer of Settlement

Resolution Date: 12/13/1989
Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:
Sanction Details: BY ORDER NO. 9401,DATED DECEMBER 12, 1989, THE COMMISSIONER OF THE DISTRICT OF COLUMBIA ACCEPTED AN OFFER OF SETTLEMENT SUBMITTED BY MR. MONTAGUE STEPHAN HENRY, WHEREIN THE COMMISSION IMPOSED A FINE OF \$500.00 BASED ON THE FACT THAT MR. HENRY HAD CONDUCTED SECURITIES TRANSACTIONS IN THE DISTRICT OF COLUMBIA WHILE NOT LICENCED UNDER THE ACT.



Reporting Source:	Individual
Regulatory Action Initiated By:	PUBLIC SERVICE COMMISSION OF THE DISTRICT OF COLUMBIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/12/1989
Docket/Case Number:	9401
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	TRANSACTIONING BUSINESS WITHOUT BEING EFFECTIVELY LICENSED.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	12/13/1989
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	\$500.00



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 3

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$21,722.70
Judgment/Lien Type: Tax
Date Filed with Court: 10/20/2016
Date Individual Learned: 10/30/2016
Type of Court: Federal Court
Name of Court: Bronx County Registers Office
Location of Court: Bronx, NY.
Docket/Case #: 233386116
Judgment/Lien Outstanding? Yes
Broker Statement A monthly payment installment payment plan commences on 11/18/2016.

Disclosure 2 of 3

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$24,749.73
Judgment/Lien Type: Tax
Date Filed with Court: 12/05/2011
Date Individual Learned: 12/31/2011
Type of Court: State Court
Name of Court: New York State Department of Taxation
Location of Court: Bronx, NY.
Docket/Case #: 2011113001400000
Judgment/Lien Outstanding? Yes

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$13,376.62
Judgment/Lien Type: Tax
Date Filed with Court: 12/05/2011
Date Individual Learned: 12/30/2011
Type of Court: State Court



Name of Court:	New York State Department of Taxation
Location of Court:	Bronx, NY
Docket/Case #:	2011113001400000
Judgment/Lien Outstanding?	Yes



End of Report

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