IAPD Report

NEIL SCOTT MEISSNER

CRD# 1942821

Section Title | **Page(s)**

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

NEIL SCOTT MEISSNER (CRD# 1942821)

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 **12/18/2024**.

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 **25** 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	01/21/2015 - 12/31/2022
IA	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	03/28/2012 - 01/28/2015
B	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	06/14/2011 - 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	1
Customer Dispute	2
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 **25** 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 Avenue
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	Arizona	Agent	Approved	03/27/2015
B	Arkansas	Agent	Approved	01/27/2016
B	California	Agent	Approved	01/21/2015

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/21/2015
B	Delaware	Agent	Approved	02/02/2015
B	District of Columbia	Agent	Approved	01/21/2015
B	Florida	Agent	Approved	04/17/2015
B	Georgia	Agent	Approved	01/21/2015
B	Illinois	Agent	Approved	01/22/2015
B	Indiana	Agent	Approved	01/13/2016
B	Iowa	Agent	Approved	01/21/2015
B	Maine	Agent	Approved	02/25/2021
B	Maryland	Agent	Approved	01/21/2015
B	Massachusetts	Agent	Approved	05/04/2021
B	Michigan	Agent	Approved	02/23/2015
B	Mississippi	Agent	Approved	01/21/2015
B	New Jersey	Agent	Approved	03/06/2015
B	New York	Agent	Approved	01/21/2015
B	North Carolina	Agent	Approved	01/21/2015
B	Ohio	Agent	Approved	01/21/2015
B	Pennsylvania	Agent	Approved	01/21/2015
B	South Carolina	Agent	Approved	01/21/2015

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	01/21/2015
B	Virginia	Agent	Approved	01/21/2015
B	West Virginia	Agent	Approved	02/22/2018

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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	09/25/1991
B	General Securities Representative Examination (S7)	Series 7	05/20/1989

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/22/2021
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/09/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/21/2015 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	NEW YORK, NY
IA	03/28/2012 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	06/14/2011 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	06/01/2009 - 07/12/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	NEW YORK, NY
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	NEW YORK, NY
B	05/23/1989 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	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	Financial Advisor	Y	New York, NY, United States
01/2015 - Present	B. Riley Wealth Management	FINANCIAL ADVISOR	Y	MEMPHIS, TN, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	NEW YORK, NY, United States
04/2007 - Present	MORGAN STANLEY & CO., INCORPORATED	MASS TRANSFER	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.

No information reported.

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	2
Termination	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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/26/2012
Docket/Case Number:	2011028485401
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	FINRA RULE 2010, NASD RULE 2510(B): MEISSNER PLACED DISCRETIONARY TRANSACTIONS IN THE SECURITIES ACCOUNTS OF FOUR CUSTOMERS. MEISSNER DID NOT HAVE WRITTEN AUTHORIZATION FROM HIS CUSTOMERS TO PLACE DISCRETIONARY TRADES, AND HIS MEMBER FIRM HAD NOT APPROVED MEISSNER'S USE OF DISCRETION IN HIS CUSTOMERS' ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/26/2012
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	09/30/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MEISSNER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS CENSURED AND FINED $7,500. FINE PAID IN FULL SEPTEMBER 30, 2013.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/26/2012
Docket/Case Number:	2011028485401
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	FINRA RULE 2010, NASD RULE 2510(B): REGISTRANT PLACED TRADES IN FOUR CUSTOMER ACCOUNTS DURING A ONE YEAR PERIOD AT HIS PRIOR FIRM WITH OBTAINING REQUISITE PRIOR WRITEN AUTHORIZATION FROM

	THE CUSTOMERS AND THE FIRM FOR DISCRETIONARY ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/26/2012
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	YES
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	REGISTRANT WAS IN FREQUENT CONTACT WITH THE FOUR CUSTOMERS BOTH BEFORE AND AFTER TRADES ABOUT INVESTMENT STRATEGIES AND SECURITIES. AWARE OF THIS INQUIRY, TWO OF THE CUSTOMERS NONETHELESS FOLLOWED REGISTRANT TO HIS NEW FIRM AND OPENED ACCOUNTS.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	IT IS ALLEGED THAT IN OR AROUND JANUARY 2010 FINANCIAL ADVISOR ALLEGEDLY ENGAGED IN UNAUTHORIZED TRADING IN CLIENT'S ACCOUNT. NO SPECIFIC DATE PROVIDED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$9,261.00
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:	08/29/2011
Complaint Pending?	No
Status:	Settled
Status Date:	03/26/2012
Settlement Amount:	$4,630.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	IT IS ALLEGED THAT IN OR AROUND JANUARY, 2010, THE REGISTRANT ENGAGED IN UNAUTHORIZED TRADING IN CLIENT'S ACCOUNT. NO SPECIFIC DATE PROVIDED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$9,261.00
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: 09/16/2011

Complaint Pending? No

Status: Settled

Status Date: 03/26/2012

Settlement Amount: $4,630.00

Individual Contribution Amount: $0.00

Broker Statement SINCE MORGAN STANLEY SMITH BARNEY FILED MY AMENDED FORM U5 SEVERAL WEEKS AGO, THEY HAVE NOT PROVIDED ME WITH ANY INFORMATION OR DETAILS ON THE COMPLAINT.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: FAILURE TO MAINTAIN ACCOUNT VALUE.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: $25,000.00

Customer Complaint Information

Date Complaint Received: 12/22/2000

Complaint Pending? No

Status: Settled

Status Date: 12/31/2000

Settlement Amount: $25,000.00

Individual Contribution Amount: $25,000.00

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:	Individual
Firm Name:	MORGAN STANLEY
Termination Type:	Voluntary Resignation
Termination Date:	06/13/2011
Allegations:	FIRM STATED I DID NOT HAVE REQUISITE CLIENT AUTHORIZATION PAPERWORK AND ACTED OUTSIDE OF FIRM RULES. ALTHOUGH NO CLIENT EVER STATED I ACTED INCONSISTENT WITH THEIR DESIRE.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)

End of Report

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