



IAPD Report

ROBERT ANDERSON MCCOMMON

CRD# 1963912

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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

ROBERT ANDERSON MCCOMMON (CRD# 1963912)

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 **07/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WEDBUSH SECURITIES INC.	CRD# 877	03/20/2025
IA	WEDBUSH SECURITIES INC.	CRD# 877	03/20/2025

QUALIFICATIONS

This representative is currently registered in **24** SRO(s) and **18** 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 ADVISORS, INC.	115927	Memphis, TN	03/22/2022 - 04/01/2025
B	B. RILEY WEALTH MANAGEMENT	2543	Memphis, TN	10/08/2012 - 04/01/2025
IA	B RILEY WEALTH MANAGEMENT	2543	Memphis, TN	02/28/2014 - 12/31/2022

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



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 **18** jurisdiction(s) and 24 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEDBUSH SECURITIES INC.**
Main Address: ATTN: COMPLIANCE DEPT.
225 S. LAKE AVE PENTHOUSE
PASADENA, CA 91101
Firm ID#: 877

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	03/20/2025
B BOX Exchange LLC	General Securities Representative	Approved	03/20/2025
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	03/20/2025
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	03/20/2025
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	03/20/2025
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	03/20/2025
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	03/20/2025
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B Cboe Exchange, Inc.	General Securities Principal	Approved	03/20/2025



Qualifications

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/20/2025
B FINRA	General Securities Principal	Approved	03/20/2025
B FINRA	General Securities Representative	Approved	03/20/2025
B Investors' Exchange LLC	General Securities Principal	Approved	03/20/2025
B Investors' Exchange LLC	General Securities Representative	Approved	03/20/2025
B MEMX LLC	General Securities Principal	Approved	03/20/2025
B MEMX LLC	General Securities Representative	Approved	03/20/2025
B MIAX PEARL, LLC	General Securities Principal	Approved	03/20/2025
B MIAX PEARL, LLC	General Securities Representative	Approved	03/20/2025
B MIAX Sapphire	General Securities Principal	Approved	03/20/2025
B MIAX Sapphire	General Securities Representative	Approved	03/20/2025
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	03/20/2025
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	03/20/2025
B NYSE American LLC	General Securities Principal	Approved	03/20/2025
B NYSE American LLC	General Securities Representative	Approved	03/20/2025
B NYSE Arca, Inc.	General Securities Principal	Approved	03/20/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	03/20/2025
B NYSE National, Inc.	General Securities Principal	Approved	03/20/2025



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Representative	Approved	03/20/2025
B NYSE Texas, Inc.	General Securities Principal	Approved	03/20/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	03/20/2025
B Nasdaq GEMX, LLC	General Securities Principal	Approved	03/20/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	03/20/2025
B Nasdaq ISE, LLC	General Securities Principal	Approved	03/20/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/20/2025
B Nasdaq MRX, LLC	General Securities Principal	Approved	03/20/2025
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/20/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	03/20/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/20/2025
B Nasdaq Stock Market	General Securities Principal	Approved	03/20/2025
B Nasdaq Stock Market	General Securities Representative	Approved	03/20/2025
B Nasdaq Texas, LLC	General Securities Principal	Approved	03/20/2025
B Nasdaq Texas, LLC	General Securities Representative	Approved	03/20/2025
B New York Stock Exchange	General Securities Principal	Approved	03/20/2025
B New York Stock Exchange	General Securities Representative	Approved	03/20/2025
B California	Agent	Approved	03/21/2025
IA California	Investment Adviser Representative	Approved	06/10/2025



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	03/20/2025
B	Florida	Agent	Approved	03/20/2025
B	Georgia	Agent	Approved	03/20/2025
B	Hawaii	Agent	Approved	04/16/2025
B	Maine	Agent	Approved	03/20/2025
B	Massachusetts	Agent	Approved	04/02/2025
B	Mississippi	Agent	Approved	03/20/2025
B	Missouri	Agent	Approved	03/20/2025
B	New Hampshire	Agent	Approved	03/20/2025
B	New Mexico	Agent	Approved	03/20/2025
B	New York	Agent	Approved	04/06/2025
B	North Carolina	Agent	Approved	04/01/2025
B	North Dakota	Agent	Approved	03/20/2025
B	Oregon	Agent	Approved	05/07/2025
B	Pennsylvania	Agent	Approved	03/20/2025
B	Tennessee	Agent	Approved	03/20/2025
IA	Tennessee	Investment Adviser Representative	Approved	03/20/2025
B	Vermont	Agent	Approved	03/20/2025



Qualifications

Branch Office Locations

WEDBUSH SECURITIES INC.

Cordova, TN



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
General Securities Principal Examination (S24)	Series 24	04/26/1999

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/26/1996
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/16/1995

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	02/27/2014
Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	03/22/2022 - 04/01/2025	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Memphis, TN
B	10/08/2012 - 04/01/2025	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Memphis, TN
IA	02/28/2014 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Memphis, TN
B	03/22/2022 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	06/25/2009 - 03/08/2011	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	MEMPHIS, TN
B	08/05/2008 - 02/09/2009	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
B	09/08/2006 - 07/29/2008	AIG SUNAMERICA CAPITAL SERVICES, INC.	CRD# 13158	JERSEY CITY, NJ
B	03/22/2004 - 09/05/2006	CAPITAL BROKERAGE CORPORATION	CRD# 10465	RICHMOND, VA
IA	01/09/2004 - 03/29/2004	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN
B	11/03/1999 - 03/29/2004	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN
B	11/13/1997 - 11/02/1999	PFIC SECURITIES CORPORATION	CRD# 34941	FRANKLIN, TN
B	01/23/1997 - 10/10/1997	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	03/17/1995 - 02/07/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	03/17/1995 - 02/07/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	10/11/1989 - 11/08/1989	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA



Registration & Employment History

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
03/2025 - Present	Wedbush Securities Inc.	VP, Product Manager	Y	Memphis, TN, United States
07/2022 - 03/2025	B. Riley Wealth Advisors	Financial Advisor	Y	Memphis, TN, United States
10/2012 - 03/2025	B. Riley Wealth Management	DIRECTOR OF ANNUITY SALES AND OPERATIONS	Y	MEMPHIS, TN, 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.

Oaks at Appling Condominium Association, Inc.; Not investment related; Cordova, TN; HOA; Treasurer; Start date 11/2023; Approx: 5 hours per month, none devoted during business hours; Duties: One of nine board members, act as Treasurer with no access or control of funds. I review monthly statements provided by the management company, and prepare reports for monthly board meetings.



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

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:	Individual
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	11/22/2024
Docket/Case Number:	2024-0354-S

Employing firm when activity occurred which led to the regulatory action: B. Riley Wealth Management, Inc.

Product Type: Insurance

Allegations: On B. Riley Wealth Management Inc.'s renewal application to act as an agent pursuant to Section 2103(a) of the Insurance Law, certified on or about March 23, 2021, Respondents failed to disclose that B. Riley Wealth Management Inc. was the subject of a FINRA Acceptance, Waiver & Consent, effective December 30, 2020. The Firm identified this omission during an internal audit and immediately rectified the oversight; however, the Firm violated its agreement, in a prior 2013 Department Stipulation, that it would take all necessary steps to prevent the recurrence of violations of Section 2110(a)(2) of the Insurance Law.

Current Status: Final

Resolution: Stipulation and Consent



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:	12/10/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$1,750.00
Portion Levied against individual:	\$1,750.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/04/2024
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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