



## IAPD Report

# ROBERT XAVIER REILLY

CRD# 2210571

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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 XAVIER REILLY (CRD# 2210571)

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 **07/09/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	B. RILEY WEALTH MANAGEMENT	CRD# 2543	01/20/2015
<b>B</b>	B. RILEY SECURITIES, INC.	CRD# 25027	06/05/2020
<b>IA</b>	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	08/08/2022

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **29** 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>IA</b>	B RILEY WEALTH MANAGEMENT	2543	NEW YORK, NY	01/20/2015 - 03/31/2023
<b>IA</b>	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	03/20/2006 - 01/28/2015
<b>B</b>	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	08/18/2003 - 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



## 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 **29** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 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>B</b> FINRA	General Securities Principal	Approved	01/22/2015
<b>B</b> FINRA	General Securities Representative	Approved	01/22/2015
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	01/22/2015
<b>B</b> FINRA	Investment Co./Variable Contracts Prin	Approved	01/22/2015
<b>B</b> FINRA	Municipal Securities Principal	Approved	01/22/2015
<b>B</b> FINRA	Municipal Securities Representative	Approved	01/22/2015
<b>B</b> FINRA	Operations Professional	Approved	01/22/2015
<b>B</b> FINRA	Registered Options Principal	Approved	01/22/2015
<b>B</b> Alabama	Agent	Approved	03/14/2019
<b>B</b> Alaska	Agent	Approved	11/13/2020
<b>B</b> Arizona	Agent	Approved	07/18/2025
<b>B</b> California	Agent	Approved	08/21/2023
<b>B</b> Colorado	Agent	Approved	03/19/2019



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Connecticut	Agent	Approved	01/22/2015
<b>B</b> Delaware	Agent	Approved	06/14/2025
<b>B</b> District of Columbia	Agent	Approved	11/20/2020
<b>B</b> Florida	Agent	Approved	08/03/2015
<b>B</b> Georgia	Agent	Approved	01/22/2016
<b>B</b> Illinois	Agent	Approved	01/22/2015
<b>B</b> Maine	Agent	Approved	11/13/2020
<b>B</b> Maryland	Agent	Approved	03/27/2020
<b>B</b> Massachusetts	Agent	Approved	12/03/2020
<b>B</b> Michigan	Agent	Approved	03/31/2020
<b>B</b> Minnesota	Agent	Approved	06/20/2025
<b>B</b> Mississippi	Agent	Approved	10/14/2020
<b>B</b> Missouri	Agent	Approved	11/16/2020
<b>B</b> New Hampshire	Agent	Approved	06/16/2025
<b>B</b> New Jersey	Agent	Approved	01/31/2022
<b>B</b> New York	Agent	Approved	01/22/2015
<b>B</b> Oklahoma	Agent	Approved	02/23/2015
<b>B</b> Pennsylvania	Agent	Approved	01/22/2015
<b>B</b> South Dakota	Agent	Approved	10/03/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Utah	Agent	Approved	11/01/2019
<b>B</b> Virginia	Agent	Approved	01/29/2019
<b>B</b> Washington	Agent	Approved	12/09/2020
<b>B</b> Wyoming	Agent	Approved	03/27/2024

### Branch Office Locations

#### B RILEY WEALTH MANAGEMENT

299 Park Avenue  
21st Floor  
New York, NY 10171

#### B RILEY WEALTH MANAGEMENT

Darien, CT

### Employment 2 of 3

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
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	06/05/2024
<b>IA</b> New York	Investment Adviser Representative	Approved	08/08/2022
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	08/09/2022

### Branch Office Locations

#### B. RILEY WEALTH ADVISORS, INC.

299 Park Avenue  
21st Floor  
New York, NY 10171

#### B. RILEY WEALTH ADVISORS, INC.

Darien, CT

### Employment 3 of 3

Firm Name: **B. RILEY SECURITIES, INC.**  
 Main Address: 1655 FORT MYER DRIVE  
 SUITE 1200



### Qualifications

ARLINGTON, VA 22209

Firm ID#: 25027

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	06/05/2020
<b>B</b> FINRA	General Securities Representative	Approved	06/05/2020
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	06/05/2020
<b>B</b> FINRA	Investment Co./Variable Contracts Prin	Approved	06/05/2020
<b>B</b> FINRA	Municipal Securities Principal	Approved	06/05/2020
<b>B</b> FINRA	Municipal Securities Representative	Approved	06/05/2020
<b>B</b> FINRA	Operations Professional	Approved	06/05/2020
<b>B</b> FINRA	Registered Options Principal	Approved	06/05/2020
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	05/27/2021
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	05/27/2021
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/27/2021
<b>B</b> Nasdaq Stock Market	Registered Options Principal	Approved	05/27/2021
<b>B</b> California	Agent	Approved	06/09/2020
<b>B</b> Connecticut	Agent	Approved	06/04/2024
<b>B</b> New York	Agent	Approved	01/13/2021
<b>B</b> Texas	Agent	Approved	06/18/2020

### Branch Office Locations



## Qualifications

299 Park Avenue  
21st Floor  
New York, NY 10171

Darien, CT










## 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 7 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	05/11/2004
 General Securities Principal Examination (S24)	Series 24	04/29/2003
 Registered Options Principal Examination (S4)	Series 4	11/29/1993
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/21/1993

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	06/19/2007
 General Securities Representative Examination (S7)	Series 7	05/06/1992



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

	Exam	Category	Date
<b>IA</b>	Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/2021
<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/1992

### 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	01/20/2015 - 03/31/2023	B RILEY WEALTH MANAGEMENT	CRD# 2543	NEW YORK, NY
IA	03/20/2006 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	08/18/2003 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	01/17/2003 - 08/15/2003	CREDIT SUISSE FIRST BOSTON LLC	CRD# 816	NEW YORK, NY
B	05/07/1992 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ

### 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 SECURITIES, INC.	FINANCIAL ADVISOR	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

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	07/28/2014
<b>Docket/Case Number:</b>	3-15987
<b>Employing firm when activity occurred which led to the regulatory action:</b>	DOMINICK & DOMINICK LLC
<b>Product Type:</b>	Other: UNSPECIFIED SECURITIES
<b>Allegations:</b>	SEC ADMIN RELEASE 34-72694; IA RELEASE 40-3881, JULY 28, 2014: THE SEC DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 203(K) OF THE ADVISERS ACT AGAINST ROBERT X. REILLY. IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, REILLY HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER HIM AND THE SUBJECT MATTER OF THESE PROCEEDINGS, WHICH ARE ADMITTED, REILLY CONSENTS TO THE ENTRY OF THIS ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTIONS 203(E) AND 203(K) OF



THE INVESTMENT ADVISERS ACT OF 1940, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS AND CEASE-AND-DESIST ORDERS. REILLY WAS RESPONSIBLE FOR CONDUCTING HIS FIRM'S BEST EXECUTION ANALYSES FOR ADVISORY CLIENTS AND ADOPTING AND IMPLEMENTING ITS WRITTEN BEST EXECUTION POLICIES AND PROCEDURES FOR ADVISORY CLIENTS. REILLY, THEREFORE, CAUSED THE FIRM'S BEST EXECUTION AND POLICY AND PROCEDURES VIOLATIONS. AS A RESULT OF THIS CONDUCT, REILLY CAUSED THE FIRM'S VIOLATIONS OF SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT, AND RULE 206(4)-7 PROMULGATED THEREUNDER.

**Current Status:**

Final

**Resolution:**

Order

**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:**

07/28/2014

**Sanctions Ordered:**

Cease and Desist

Civil and Administrative Penalty(ies)/Fine(s)

Other: REILLY IS ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULE 206(4)-7 PROMULGATED THEREUNDER.

**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:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:** MUST BE PAID WITHIN 10 DAYS OF THE ENTRY OF THE ORDER

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Reporting Source:** Individual

**Regulatory Action Initiated By:** UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Cease and Desist



	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	07/28/2014
<b>Docket/Case Number:</b>	3-15987
<b>Employing firm when activity occurred which led to the regulatory action:</b>	DOMINICK & DOMINICK LLC
<b>Product Type:</b>	Other: UNSPECIFIED SECURITIES
<b>Allegations:</b>	ALLEGED VIOLATIONS OF ADVISERS ACT SECTION 206(2) AND 206(4) AND RULE 206(4)-7 THEREUNDER RELATED TO THE ADOPTION AND IMPLEMENTATION OF THE FIRM'S BEST EXECUTION POLICIES AND PROCEDURES.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/28/2014
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$10,000.00
<b>Portion Levied against individual:</b>	\$10,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS, MR. REILLY CONSENTED TO THE ENTRY OF THE SEC'S ORDER. THE SEC NOTED THAT IN DETERMINING TO ACCEPT THE OFFER, THE COMMISSION CONSIDERED REMEDIAL ACTS PROMPTLY UNDERTAKEN AND COOPERATION AFFORDED THE COMMISSION STAFF. SPECIFICALLY, THE BEST EXECUTION POLICIES AND PROCEDURES WERE REVISED TO INCLUDE CONSIDERATION OF THE TOTAL COST OF EFFECTING ADVISORY CLIENT TRANSACTIONS. FURTHER, A CONSULTANT WAS RETAINED TO ASSIST THE FIRM IN DEVELOPING AND IMPLEMENTING POLICIES AND PROCEDURES REASONABLY DESIGNED TO PROMOTE THE FIRM'S COMPLIANCE WITH THE ADVISERS ACT, INCLUDING ITS BEST EXECUTION AND RELATED DISCLOSURE OBLIGATIONS FOR ADVISORY CLIENTS.



## End of Report

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