IAPD Report

IRA E MENKES

CRD# 2265852

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

IRA E MENKES (CRD# 2265852)

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 **12/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	01/21/2015
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	07/28/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	09/06/2011 - 01/28/2015
B	DOMINICK & DOMINICK LLC	7344	NEW YORK, NY	06/29/2011 - 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
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 **20** 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	07/28/2022

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
New York, NY

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	Alaska	Agent	Approved	11/16/2020
B	Arizona	Agent	Approved	01/21/2015
B	Arkansas	Agent	Approved	03/10/2021
B	California	Agent	Approved	01/21/2015
B	Colorado	Agent	Approved	11/16/2020

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/21/2015
B	Florida	Agent	Approved	01/21/2015
B	Georgia	Agent	Approved	03/09/2021
B	Illinois	Agent	Approved	01/21/2015
B	Louisiana	Agent	Approved	02/13/2020
B	Maryland	Agent	Approved	01/21/2015
B	Minnesota	Agent	Approved	08/29/2016
B	New Jersey	Agent	Approved	01/21/2015
B	New Mexico	Agent	Approved	01/21/2015
B	New York	Agent	Approved	01/21/2015
B	North Carolina	Agent	Approved	01/21/2015
B	Pennsylvania	Agent	Approved	03/29/2019
B	South Carolina	Agent	Approved	01/21/2015
B	Texas	Agent	Approved	02/18/2020
B	Virginia	Agent	Approved	01/21/2015

Branch Office Locations

B RILEY WEALTH MANAGEMENT
New York, NY

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
No information reported.		

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	07/06/1993
B	General Securities Representative Examination (S7)	Series 7	09/16/1992

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/30/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1992

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.

User Guidance

www.adviserinfo.sec.gov

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	09/06/2011 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	06/29/2011 - 01/28/2015	DOMINICK & DOMINICK LLC	CRD# 7344	NEW YORK, NY
B	06/01/2009 - 06/23/2011	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	09/18/1992 - 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	Memphis, TN, United States
01/2015 - Present	B. Riley Wealth Management	Registered Representative	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.

1. CONGREGATION EMANU-EL MEN'S CLUB BOARD MEMBER; One East 65th Street New York NY 10065;Start Date: 2002; Not Investment Related Activity; Title: Director; Details: Director of the Men's Club arranges seminars and charitable events for the community; 2 hours per month devoted to this activity; zero hours during trading hours.
2. 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

 Report about IRA E MENKES.

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
Termination	1

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:	Firm
Firm Name:	MORGAN STANLEY SMITH BARNEY
Termination Type:	Voluntary Resignation
Termination Date:	06/06/2011
Allegations:	SEVERAL CUSTOMERS REQUESTED WIRE TRANSFERS FROM THEIR FIRM ACCOUNTS TO THEIR OWN BANK ACCOUNTS, REPRESENTATIVE PROCESSED REQUESTS AND SIGNED FOR THEM. (THE CUSTOMERS DID NOT COMPLAIN.)
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	MORGAN STANLEY SMITH BARNEY
Termination Type:	Voluntary Resignation
Termination Date:	06/06/2011
Allegations:	COMPANY SAYS A FEW CUSTOMERS REQUESTED WIRE TRANSFERS FROM THEIR FIRM ACCOUNTS TO THEIR OWN BANK ACCOUNTS, BROKER PROCESSED REQUESTS AND SIGNED FOR THEM, AND THAT THE CUSTOMERS DID NOT COMPLAIN.
Product Type:	Other: N/A
Broker Statement	BROKER OBJECTS TO THE FIRM'S SUMMARY, MISLEADING DEPICTION OF THIS MATTER ON QUSTION 7F(1) ON BROKER'S FORM U5, WHICH FORCED THE BROKER TO ANSWER THIS QUESTION 14J(1) IN THE AFFIRMATIVE. BROKER SERVED COMPANY AND CUSTOMERS FOR ALMOST 19 YEARS WITHOUT A SINGLE CUSTOMER COMPLAINT NOR ANY OTHER ISSUES.

FIRM ACTED ARBITRARILY AND UNFAIRLY IN COMPLETING ITS FORM U5 FOR BROKER.

End of Report

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