IAPD Report

JOHN CHRISTOPHER CANNELLA

CRD# 2457965

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JOHN CHRISTOPHER CANNELLA (CRD# 2457965)

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 **06/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	07/02/2018
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	02/25/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL	05/16/2018 - 07/22/2022
IA	SCOTTRADE INVESTMENT MANAGEMENT	169988	Coral Springs, FL	04/14/2017 - 03/09/2018
B	SCOTTRADE, INC.	8206	CORAL SPRINGS, FL	07/14/2016 - 03/09/2018

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
Judgment/Lien	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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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 Principal	Approved	02/25/2022
B	FINRA	General Securities Representative	Approved	02/25/2022
B	FINRA	Municipal Securities Principal	Approved	02/25/2022
B	FINRA	Municipal Securities Representative	Approved	02/25/2022
B	FINRA	Registered Options Principal	Approved	02/25/2022
B	Florida	Agent	Approved	02/28/2022
B	New York	Agent	Approved	02/28/2022
B	Washington	Agent	Approved	03/23/2026

Branch Office Locations

B RILEY WEALTH MANAGEMENT
Boynton Beach, FL

B RILEY WEALTH MANAGEMENT
Boynton Beach, FL

B RILEY WEALTH MANAGEMENT
5000 T-Rex Ave.
Suite 300
Boca Raton, FL 33421

Employment 2 of 2

Firm Name: **B. RILEY WEALTH ADVISORS, INC.**

Qualifications

Main Address: 40 S. MAIN ST.
SUITE 1600
MEMPHIS, TN 38103

Firm ID#: 115927

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/02/2018

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
Boynton Beach, FL

B. RILEY WEALTH ADVISORS, INC.
Boynton Beach, FL

B. RILEY WEALTH ADVISORS, INC.
5000 T-Rex Ave.
Suite 300
Boca Raton, FL 33421

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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	10/13/2018
B	Registered Options Principal Examination (S4)	Series 4	07/23/2018
B	General Securities Principal Examination (S24)	Series 24	05/20/2010

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Research Analyst Exam - Part II Regulations Module (S87)	Series 87	02/13/2016
B	General Securities Representative Examination (S7)	Series 7	07/07/2008

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/08/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/28/2008

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
B	05/16/2018 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
IA	04/14/2017 - 03/09/2018	SCOTTRADE INVESTMENT MANAGEMENT	CRD# 169988	Coral Springs, FL
B	07/14/2016 - 03/09/2018	SCOTTRADE, INC.	CRD# 8206	CORAL SPRINGS, FL
B	10/24/2014 - 05/24/2016	DAWSON JAMES SECURITIES, INC.	CRD# 130645	BOCA RATON, FL
B	05/29/2013 - 08/06/2014	GARDEN STATE SECURITIES, INC.	CRD# 10083	WELLINGTON, FL
B	01/22/2010 - 09/06/2012	GARDEN STATE SECURITIES, INC.	CRD# 10083	WELLINGTON, FL
B	07/08/2008 - 02/02/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	WELLINGTON, FL
B	03/29/2001 - 05/22/2001	STERLING FINANCIAL INVESTMENT GROUP, INC.	CRD# 41506	BOCA RATON, FL
B	11/06/2000 - 04/04/2001	VIEWTRADE SECURITIES, INC.	CRD# 46987	BOCA RATON, FL
B	03/02/1999 - 11/09/2000	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	08/31/1998 - 12/14/1998	FAS WEALTH MANAGEMENT SERVICES, INC.	CRD# 10164	SARASOTA, FL
B	01/05/1998 - 08/31/1998	BILTMORE SECURITIES, INC.	CRD# 25023	FT. LAUDERDALE, FL

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	Supervision Specialist	Y	Memphis, TN, United States
07/2022 - Present	B. Riley Wealth Management	Supervision Specialist	Y	Boca Raton, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2018 - 07/2022	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
05/2018 - 07/2022	NATIONAL SECURITIES CORP	SUPERVISION SPECIALIST	Y	BOCA RATON, FL, United States
06/2016 - 03/2018	SCOTTRADE	INVESTMENT CONSULTANT	Y	CORAL SPRINGS, FL, 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
Judgment/Lien	1

Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	SEMINOLE CASUALTY INS CO
Judgment/Lien Amount:	$16,115.56
Judgment/Lien Type:	Civil
Date Filed with Court:	03/01/2009
Date Individual Learned:	04/08/2015
Type of Court:	PALM BEACH COUNTY
Name of Court:	PALM BEACH COUNTY COURT
Location of Court:	PALM BEACH COUNTY FLORIDA
Docket/Case #:	502008CC011132XXXXMB
Judgment/Lien Outstanding?	Yes
Broker Statement	DUE TO TRAFFIC ACCIDENT/FENDER BENDER WILL WORK ON RESOLVING THE MATTER AND IN AN EFFORT TO ACCURATELY REPORT UPDATED AMOUNT

End of Report

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