



IAPD Report

STUART CONLEY

CRD# 2765493

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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

STUART CONLEY (CRD# 2765493)

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 **08/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	02/28/2014
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	07/22/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	NEW YORK, NY	02/28/2014 - 07/22/2022
IA	FURTHER LANE ASSET MANAGEMENT, LLC	111539	NEW YORK, NY	07/02/2013 - 02/25/2014
B	FURTHER LANE SECURITIES, L.P.	38162	NEW YORK, NY	07/02/2013 - 02/25/2014

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	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 **15** 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 Representative	Approved	07/22/2022
B California	Agent	Approved	07/22/2022
B Connecticut	Agent	Approved	07/22/2022
B Florida	Agent	Approved	07/22/2022
B Illinois	Agent	Approved	07/22/2022
B Indiana	Agent	Approved	07/22/2022
B Iowa	Agent	Approved	07/22/2022
B Maine	Agent	Approved	08/27/2025
B Maryland	Agent	Approved	07/22/2022
B Massachusetts	Agent	Approved	07/22/2022
B New Jersey	Agent	Approved	07/22/2022
B New York	Agent	Approved	07/22/2022
B North Carolina	Agent	Approved	07/22/2022



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	07/22/2022
B Texas	Agent	Approved	07/22/2022
B Virginia	Agent	Approved	07/22/2022

Branch Office Locations

B RILEY WEALTH MANAGEMENT

1407 Broadway
SUITE 2204
NEW YORK, NY 10018

Employment 2 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	11/29/2021
IA Texas	Investment Adviser Representative	Restricted Approval	10/21/2021

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.

1407 BROADWAY
SUITE 2204
NEW YORK, NY 10018



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	03/30/1999
General Securities Representative Examination (S7)	Series 7	07/22/1996

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/27/2021
Uniform Securities Agent State Law Examination (S63)	Series 63	08/01/1996

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
B	02/28/2014 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
IA	07/02/2013 - 02/25/2014	FURTHER LANE ASSET MANAGEMENT, LLC	CRD# 111539	NEW YORK, NY
B	07/02/2013 - 02/25/2014	FURTHER LANE SECURITIES, L.P.	CRD# 38162	NEW YORK, NY
B	12/01/2006 - 07/22/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
IA	12/01/2006 - 07/22/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
IA	10/14/2005 - 12/04/2006	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	NEW YORK, NY
B	01/03/2003 - 12/04/2006	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	12/13/1999 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	08/14/1996 - 12/20/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	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 MANAGEMENT	Mass Transfer	Y	NEW YORK, NY, United States
07/2022 - Present	B. Riley Wealth Advisors	Financial Advisor	Y	Memphis, TN, United States
02/2014 - 07/2022	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
02/2014 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States



Registration & Employment History



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)HYPERION WEALTH ADVISORS LLC, NEW YORK, NY INVESTMENT RELATED. DBA FOR ASSET MANAGMENT, IAR, FINANCIAL PLANNING.FOUNDING PARTNER (MEMBER)START 1-2014, 250 HRS PER MONTH
- 2)JUNO CAPITAL,LLC,INVESTMENT RELATED, NY, NY. PASS THROUGH FOR BUSIESS EXPENSES.OWNER. START 2/2014.
- 3)SIXTEENTH ST OWNERS INC; NON INVESTMENT RELATED; 55 W 16th ST NY, NY 10011; COMMON OWNERSHIP APARTMENT BUILDING; CO OWNER, BOARD OFFICER, TEMP PRESIDENT; START DATE 2000; 3 HOURS/MONTH DEVOTED 1 DURING SECURITIES TRADING HOURS.



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	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:	04/27/2015
Docket/Case Number:	2013037694701
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	Options
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, CONLEY CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE EFFECTED DISCRETIONARY OPTIONS TRADES IN THE BROKERAGE ACCOUNTS OF CUSTOMERS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS TO EXERCISE DISCRETIONARY POWER IN THOSE ACCOUNTS OR HIS MEMBER FIRM'S WRITTEN ACCEPTANCE OF THE ACCOUNTS AS DISCRETIONARY.
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:	04/27/2015
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: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 05/27/2015

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 04/27/2015

Docket/Case Number: [2013037694701](#)

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: Options

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, CONLEY CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE EFFECTED DISCRETIONARY OPTIONS TRADES IN THE BROKERAGE ACCOUNTS OF CUSTOMERS WITHOUT OBTAINING PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMERS TO EXERCISE DISCRETIONARY POWER IN THOSE ACCOUNTS OR HIS MEMBER FIRM'S WRITTEN ACCEPTANCE OF THE ACCOUNTS AS DISCRETIONARY.



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:	04/27/2015
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:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CLAIMANT ALLEGES THAT MR. CONLEY MISMANAGED HIS ACCOUNT, AND FAILED TO REBALANCE THE ACCOUNTS PORTFOLIO IN THE FACE OF DECLINING MARKET CONDITIONS, THUS CAUSING THE PORTFOLIO TO LOSE VALUE. CLAIMANT SEEKS DAMAGES OF IN EXCESS OF \$5000.00

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/31/2001

Complaint Pending? No

Status: Denied

Status Date: 08/14/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CLAIMANT ALLEGES THAT MR. CONLEY MISMANAGED HIS ACCOUNT, AND FAILED TO REBALANCE THE ACCOUNTS PORTFOLIO IN THE FACE OF DECLINING MARKET CONDITIONS, THUS CAUSING THE PORTFOLIO TO LOSE VALUE. CLAIMANT SEEKS DAMAGES OF IN EXCESS OF \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/31/2001

Complaint Pending? No

Status: Denied

Status Date: 08/14/2003

Settlement Amount:



**Individual Contribution
Amount:**



End of Report

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