



## IAPD Report

# SEAN PAUL PRICE

CRD# 2831795

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

### SEAN PAUL PRICE (CRD# 2831795)

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 **04/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	11/04/2015
<b>B</b>	B. RILEY WEALTH MANAGEMENT	CRD# 2543	10/22/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>B</b>	NATIONAL SECURITIES CORPORATION	7569	WINTER PARK, FL	11/22/2013 - 07/22/2022
<b>IA</b>	ASSET & FINANCIAL PLANNING, LTD	110709	WINTER PARK, FL	01/21/2003 - 05/06/2014
<b>B</b>	PRIME CAPITAL SERVICES, INC.	18334	WINTER PARK, FL	07/27/2001 - 11/22/2013

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
Criminal	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 7 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>B</b> FINRA	General Securities Representative	Approved	10/22/2021
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	10/22/2021
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	10/22/2021
<b>B</b> Colorado	Agent	Approved	11/09/2021
<b>B</b> Florida	Agent	Approved	11/05/2021
<b>B</b> Georgia	Agent	Approved	11/03/2021
<b>B</b> New Jersey	Agent	Approved	11/05/2021
<b>B</b> North Carolina	Agent	Approved	07/22/2022
<b>B</b> Texas	Agent	Approved	10/28/2021
<b>B</b> Washington	Agent	Approved	11/08/2021

### Branch Office Locations

**B RILEY WEALTH MANAGEMENT**  
611 N WYMORE RD  
SUITE 206  
WINTER PARK, FL 32789



## Qualifications

### 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	Florida	Investment Adviser Representative	Approved	11/04/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	10/21/2021

### Branch Office Locations

**B. RILEY WEALTH ADVISORS, INC.**  
611 N WYMORE RD  
SUITE 206  
WINTER PARK, FL 32789



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/08/2001
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/08/2001

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/31/1997
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/17/1996

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/14/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1997

### 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	11/22/2013 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	WINTER PARK, FL
IA	01/21/2003 - 05/06/2014	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	WINTER PARK, FL
B	07/27/2001 - 11/22/2013	PRIME CAPITAL SERVICES, INC.	CRD# 18334	WINTER PARK, FL
B	08/13/1997 - 07/05/2001	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	12/18/1996 - 09/15/1997	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT

### 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	WINTER PARK, FL, United States
07/2022 - Present	B. RILEY WEALTH ADVISORS, INC.	Financial Advisor	Y	Winter Park, FL, United States
09/2015 - 07/2022	NATIONAL ASSET MANAGEMENT	REGISTERED ADVISOR	Y	WINTER PARK, FL, United States
11/2013 - 07/2022	NATIONAL SECURITIES CORPORATION	Mass Transfer	Y	WINTER PARK, FL, United States
07/2001 - 08/2018	GILMAN + CIOCIA, INC.	TAX PREPARER	N	WINTER PARK, 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.

- (1) PRICE WEALTH ADVISORY LLC; INVESTMENT-RELATED; PRESIDENT; START DATE 08/2018; DBA FOR FINANCIAL PLANNING, INVESTMENT ADVISORY SERVICES, ALL BUSINESS CONDUCTED THROUGH B. RILEY WEALTH; 160 HRS PER MONTH....
- (2) PRICE TAX ADVISORY LLC; NOT INVESTMENT-RELATED; PRESIDENT; SAME ADDRESS AS B. RILEY WEALTH; TAX PREP; START DATE 08/2018; 160 HRS PER MONTH..
- (3) B. RILEY WEALTH INSURANCE; INVESTMENT RELATED; 611 N WYMORE RD STE 206 WINTER PARK, FL 32789; LIFE INSURANCE AND ANNUITY SALES; AGENT; START DATE 2022; 20 HOURS/ MONTH DEVOTED DURING SECURITIES



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

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
Criminal	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

**Reporting Source:** Individual

**Organization Name (if charge(s) were brought against an organization over which individual exercised control):** NA

**Court Details:** INDIAN RIVER COUNTY COURTHOUSE, VERO BEACH, FL  
CASE #1893625 AND #8918150

**Charge Date:** 12/22/1989

**Charge Details:** CRIMINAL MISCHIEF-NO CONTEST - (TOILET PAPERING AN AUTOMOBILE); UNAUTHORIZED USE OF OR POSSESSION OF DRIVER'S LICENSE (FAKE ID); NO DAMAGES OR CLAIMS. CHARGE DROPPED BEFORE COURT APPEARANCE.

**Felony?** No

**Current Status:** Final

**Status Date:** 02/16/1990

**Disposition Details:** CHARGES FOR STATUTE #322.12 WERE DROPPED BEFORE COURT APPEARANCE. ADJUDICATION AND SENTENCE WITHHELD FOR STATUTE #806.12 WITH COURT COST ONLY. CHARGES DISMISSED BY JUDGE.

**Broker Statement** I WAS ARRESTED WHEN I WAS 18 WITH MY FRIENDS FOR TOILET-PAPERING A CAR AND ALSO FOR FAKE ID'S WHEN THEY SEARCHED US (SAME ARREST). CHARGES FOR THE FAKE ID WERE DROPPED WHEN THEY WERE FOUND TO BE INAPPROPRIATE. CRIMINAL MISCHIEF CHARGES THROWN OUT WITH COURT COST ONLY. THERE WAS NO PROPERTY DAMAGES, THEFT, OR FRAUD. JUDGE THREW EVERYTHING OUT WHEN HE THOUGHT



IT  
WAS RIDICULOUS THAT WE HAD BEEN ARRESTED (CAR BELONGED TO  
OUR  
CLOSE FRIEND). ALL DISPOSED FILES PERTAINING TO THE CASE WERE  
DESTROYED BY THE COURTHOUSE.



## End of Report

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