



IAPD Report

DOLORES KONG

CRD# 4470059

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i 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

DOLORES KONG (CRD# 4470059)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	03/22/2021
B	B. RILEY WEALTH MANAGEMENT	CRD# 2543	07/22/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	BOSTON, MA	03/20/2021 - 07/22/2022
IA	WINSLOW, EVANS & CROCKER, INC.	29686	BOSTON, MA	03/09/2005 - 04/13/2021
B	WINSLOW, EVANS & CROCKER, INC.	29686	BOSTON, MA	02/12/2004 - 04/13/2021

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
Customer Dispute	3



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 **25** 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 FINRA	Investment Banking Representative	Approved	07/22/2022
B Arizona	Agent	Approved	04/13/2023
B California	Agent	Approved	10/31/2023
B Colorado	Agent	Approved	07/22/2022
B Connecticut	Agent	Approved	07/22/2022
B Delaware	Agent	Approved	07/22/2022
B District of Columbia	Agent	Approved	07/22/2022
B Florida	Agent	Approved	07/22/2022
B Hawaii	Agent	Approved	07/22/2022
B Illinois	Agent	Approved	07/22/2022
B Maine	Agent	Approved	07/22/2022
B Maryland	Agent	Approved	07/22/2022



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	07/22/2022
B New Hampshire	Agent	Approved	07/22/2022
B New Mexico	Agent	Approved	07/22/2022
B New York	Agent	Approved	07/22/2022
B North Carolina	Agent	Approved	12/09/2025
B Oregon	Agent	Approved	07/22/2022
B Pennsylvania	Agent	Approved	07/22/2022
B Rhode Island	Agent	Approved	07/22/2022
B South Dakota	Agent	Approved	11/15/2023
B Texas	Agent	Approved	07/22/2022
B Utah	Agent	Approved	07/22/2022
B Virginia	Agent	Approved	10/31/2023
B Washington	Agent	Approved	07/22/2022
B Wisconsin	Agent	Approved	07/22/2022

Branch Office Locations

B RILEY WEALTH MANAGEMENT
 155 Federal St.
 Suite 602
 Boston, MA 02110

B RILEY WEALTH MANAGEMENT
 Waterville Valley, NH

Employment 2 of 2

Firm Name: **B. RILEY WEALTH ADVISORS, INC.**
 Main Address: 40 S. MAIN ST.
 SUITE 1600



Qualifications

Firm ID#: MEMPHIS, TN 38103
115927

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	04/27/2021
IA	New Hampshire	Investment Adviser Representative	Approved	03/22/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/21/2021

Branch Office Locations

B. RILEY WEALTH ADVISORS, INC.
155 Federal St.
10th Floor
Boston, MA 02110

B. RILEY WEALTH ADVISORS, INC.
Waterville Valley, NH



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/29/2001

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/21/2001
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	03/20/2021 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOSTON, MA
IA	03/09/2005 - 04/13/2021	WINSLOW, EVANS & CROCKER, INC.	CRD# 29686	BOSTON, MA
B	02/12/2004 - 04/13/2021	WINSLOW, EVANS & CROCKER, INC.	CRD# 29686	BOSTON, MA
B	11/30/2001 - 02/20/2004	DETWILER, MITCHELL, FENTON & GRAVES, INC.	CRD# 1794	BOSTON, MA

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	BOSTON, MA, United States
03/2021 - Present	B. RILEY WEALTH ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	BOSTON, MA, United States
03/2021 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, United States
02/2004 - 03/2021	WINSLOW, EVANS & CROCKER, INC.	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, 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) IRS LICENSED ENROLLED AGENT: INDIVIDUAL TAX PREPARATION - SEASONAL; NOT INVESTMENT-RELATED; 125 W BRANCH RD. WATERVILLE VALLEY, NH; 10 HRS/MONTH, 0 DURING TRADING HRS; ENROLLED AGENT.... (2) AOMM ENTERPRISES LLC; NOT INVESTMENT-RELATED; HIKING BOOKS, BLOG, INTERNET INO; 125 W. BRANCH RD. WATERVILLE VALLEY, NH; 4 HRS/MONTH, 0 DURING TRADING HRS; WWW.ACADIAONMYMIND.COM.... (3) B. RILEY WEALTH INSURANCE; INVESTMENT-RELATED; SAME ADDRESS AS BRWM; FIXED INSURANCE; AGENT; START DATE 03/2021, 4 HRS/MONTH, DURING TRADING HRS.
- (4) DOLORES KONG INTERNET DOMAIN NAME; NON INVESTMENT RELATED; INTERNET DOMIAN; OWNER; START DATE 2022; 4 HOURS/MPNTH DEVOTED NON 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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Winslow, Evans & Crocker, inc.
Allegations:	On October 23rd, CCO of the Firm received an e-mail from the Customer alleging that Representative employed investment strategies inconsistent with Customer's investment objectives for the period 2015 - 2017.
Product Type:	No Product
Alleged Damages:	\$67,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/23/2017
Complaint Pending?	No
Status:	Settled
Status Date:	12/11/2017
Settlement Amount:	\$35,891.93
Individual Contribution Amount:	\$35,891.93

**Broker Statement**

On October 23, 2017, Customer sent an e-mail to the CCO of the Firm in which she alleged unsuitable investment allocations within her discretionary investment advisory account. Specifically, Customer alleged that the account had large cash position over the past 2-2.5 years and asserted that those positions were contrary to her written investment objectives and risk profile. Customer stated that she had previously expressed her dissatisfaction to the Representative with respect to the portfolio allocations. Customer requested a review of the account. Firm conducted an internal review of the matter and communicated with Customer. Firm discovered that, in January of 2017, Customer had expressed her dissatisfaction with portfolio allocation in an e-mail to Representative. Representative failed to recognize the communication as a customer complaint, and thus did not report it to the Firm. Firm found no evidence of industry rules violations. Firm expressly denies any liability with respect to Customer claims. However, in order to avoid further expense, costs, and time devoted to the matter, the parties have reached a full and final settlement whereby Firm has refunded the total amount of management fees paid on assets in the IRA account and paid an additional \$5,000 to Customer. At Customer's request \$5,000 check will be issued during the first week of January of 2018.

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

Winslow, Evans & Crocker, Inc.

Allegations:

Customer, through her attorney, alleges that registered representative employed investment strategy within Customer investment advisory accounts that were contrary to Customer's stated investment objectives and by doing so, breached her fiduciary duty. Correspondence represents a new development related to the Customer complaint reported under Rule 4530 (Filing #1750709).

Product Type:

No Product

Alleged Damages:

\$95,944.00

Alleged Damages Amount Explanation (if amount not exact):

The damage amount is quoted from attorney's letter demanding \$110,000 settlement.

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:**

10/23/2017

Complaint Pending?

No

Status:

Settled

Status Date:

12/06/2017

Settlement Amount:

\$10,000.00

Individual Contribution Amount:

\$0.00

**Broker Statement**

On June 14th, 2017, Customer sent an e-mail to Representative and CCO of the Firm attaching a document in which she alleged unsuitable investment allocations within her and her husband's discretionary investment advisory accounts. Specifically, Customer alleged that the accounts had large cash positions over the past 2-2.5 years and asserted that those positions were contrary to their written investment objectives and risk profile. Customer stated that due to a highly unusual work situation she was not able to monitor portfolio as closely as she had in previous years. Customer requested review of accounts and other steps to be completed by Winslow. There were no explicit claims for damages of \$5k or more within the original Customer complaint.

Firm met with Customer to further discuss her allegations and had additional communications with her. Firm also conducted an internal review of the accounts and provided information to Customer. Firm did not hear from Customer again until it received a letter from Customer's attorney on 10/23/2017. The Parties have since had additional communications related to Customer's assertions. Firm found no evidence of industry rules violations. Firm expressly denies any liability with respect to Customer claims. However, in order to avoid further expense, costs, and time devoted to the matter, the parties have reached a full and final settlement whereby Firm has paid \$10,000 to Customer.

Disclosure 3 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

WINSLOW, EVANS & CROCKER, INC.

Allegations:

ON 10/03/2016 FIRM RECEIVED A LETTER FROM THE CUSTOMER DATED 09/29/2016, THAT CONTAINED DISSATISFACTION WITH CUSTOMER PORTFOLIO PERFORMANCE VS. ESTIMATES/ASSUMPTIONS CONTAINED WITHIN FINANCIAL PLANNING REPORTS PREPARED BY THE REPRESENTATIVE(CERTIFIED FINANCIAL PLANNER) FOR THE CUSTOMER IN THE PAST. CUSTOMER MAINTAINED 4 INVESTMENT ADVISORY AND ONE BROKERAGE ACCOUNT WITH THE FIRM. EARLIEST ACCOUNT OPENING DATE IS 06/30/2011. IN ADDITION,CUSTOMER EXPRESSED CONFUSION WITH RESPECT TO INFORMATION CONTAINED WITHIN ACCOUNT STATEMENTS PRODUCED BY CUSTODIAN, PERSHING,LLC.

Product Type:

Other: INVESTMENT ADVISORY PORTFOLIO PERFORMANCE

Alleged Damages:

\$30,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information**Date Complaint Received:** 10/03/2016**Complaint Pending?** No**Status:** Settled**Status Date:** 10/27/2016**Settlement Amount:** \$32,616.62**Individual Contribution Amount:** \$32,616.62

**Broker Statement**

ON 10/03/2016 FIRM RECEIVED A LETTER FROM THE CUSTOMER DATED 09/29/2016, THAT CONTAINED DISSATISFACTION WITH CUSTOMER PORTFOLIO PERFORMANCE VS. ESTIMATES/ASSUMPTIONS CONTAINED WITHIN FINANCIAL PLANNING REPORTS PREPARED BY THE REPRESENTATIVE(CERTIFIED FINANCIAL PLANNER) FOR THE CUSTOMER IN THE PAST. IN ADDITION,CUSTOMER EXPRESSED CONFUSION WITH RESPECT TO INFORMATION CONTAINED WITHIN ACCOUNT STATEMENTS PRODUCED BY CUSTODIAN (PERSHING,LLC). WHILE CONDUCTING AN INVESTIGATION PERTAINING TO RECEIVED CUSTOMER COMPLAINT, FIRM HAS IDENTIFIED AN EMAIL FROM THE CUSTOMER TO THE REPRESENTATIVE DATED 05/17/2016 IN WHICH CUSTOMER EXPRESSED GRIEVANCES SIMILAR TO THOSE CONTAINED WITHIN THE AFOREMENTIONED LETTER. REPRESENTATIVE HAD FAILED TO RECOGNIZE CUSTOMER EMAIL AS A COMPLAINT AND DID NOT REPORT THIS MATTER TO HER SUPERVISOR AND / OR COMPLIANCE OFFICER AS REQUIRED UNDER WRITTEN SUPERVISORY POLICIES AND PROCEDURES OF THE FIRM (SEE RULE 4530 FILING AS OF 10/17/2016). UPON RECEIPT OF THE LETTER, FIRM HAD PROMPTLY CONTACTED THE CUSTOMER (ON 10/04/2016) AND CONDUCTED INTERNAL INVESTIGATION WITH FOLLOWING FINDINGS: SIGNIFICANT AMOUNT OF ADDITIONAL SERVICES (I.E. FINANCIAL PLANNING) WERE PROVIDED TO CUSTOMER; INITIAL SUITABILITY AND OBJECTIVES PROFILE SUBMITTED BY CUSTOMER DID NOT CORRECTLY REFLECT THE ACTUAL CUSTOMER RISK TOLERANCE; ACCOUNTS WERE NOT INVESTED BY REPRESENTATIVE IN ACCORDANCE WITH INITIAL STATED SUITABILITY AND OBJECTIVES PROFILE; REPRESENTATIVE FAILED TO REPORT CUSTOMER COMPLAINT CONTAINED WITHIN CUSTOMER E-MAIL DATED 05/17/2016. CUSTOMER WAS WELL INFORMED OF ACCOUNT(S) HOLDINGS AND PERFORMANCE. FIRM CONFIRMED THAT ALL STATEMENTS HAVE BEEN PRODUCED FOR THE CUSTOMER ACCOUNTS INCLUSIVE OF QUARTERLY PERFORMANCE REPORTS BY PERSHING, LLC - CLEARING FIRM AND QUALIFIED CUSTODIAN. NEITHER STATEMENTS NOR PERFORMANCE REPORTS WERE ALTERED OR DIFFERENT FROM SIMILAR DOCUMENTATION PRODUCED FOR OTHER CUSTOMERS BY PERSHING, LLC. WHILE FIRM FOUND EVIDENCE OF MS. KONG VIOLATING INTERNAL POLICIES AND PROCEDURES OF THE FIRM, FIRM FOUND NO EVIDENCE OF INDUSTRY RULES VIOLATIONS.

REPRESENTATIVE COMMENTS:
I DID NOT RECOGNIZE THE EMAIL AS A COMPLAINT, GIVEN THE MANY CONVERSATIONS WITH THE CLIENT PREVIOUS TO AND SINCE THE EMAIL. MULTIPLE EFFORTS MADE TO ACCOMMODATE CLIENT DESIRE FOR EXPLANATION OF INDUSTRY-STANDARD ACCOUNT STATEMENTS AND REPORTS PRODUCED BY CUSTODIAN PERSHING LLC, ALONG WITH OTHER ACCOMMODATIONS. MULTIPLE EFFORTS MADE TO HAVE CLIENT UPDATE SUITABILITY AND OBJECTIVES PROFILE TO REFLECT ACTUAL RISK TOLERANCE, WITHOUT SUCCESS.



End of Report

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