



IAPD Report

ERIC R COHEN

CRD# 6171387

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

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

ERIC R COHEN (CRD# 6171387)

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 **05/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	10/01/2024
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	10/17/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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 ADVISORS, INC.	115927	BOCA RATON, FL	03/17/2023 - 10/30/2024
B	B. RILEY WEALTH MANAGEMENT	2543	BOCA RATON, FL	02/24/2023 - 10/30/2024
IA	STOEVER GLASS WEALTH MANAGEMENT, INC.	173091	NEW YORK, NY	11/30/2020 - 03/03/2023

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
Financial	6



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 11 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 42046

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/01/2024
B California	Agent	Approved	10/01/2024
B Connecticut	Agent	Approved	10/01/2024
B Delaware	Agent	Approved	10/02/2024
B Florida	Agent	Approved	10/01/2024
B Illinois	Agent	Approved	05/22/2025
B Maryland	Agent	Approved	10/01/2024
B New Jersey	Agent	Approved	10/01/2024
B New York	Agent	Approved	10/01/2024
B Ohio	Agent	Approved	10/01/2024
B Pennsylvania	Agent	Approved	10/01/2024
B Wisconsin	Agent	Approved	10/01/2024

Branch Office Locations




Qualifications

NFP ADVISOR SERVICES, LLC

2424 North Federal Highway Suite 400
Boca Raton, FL 33431

Employment 2 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 283330

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	10/17/2024

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC

2424 N Federal Hwy
Boca Raton, FL 33431



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, 2 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
------	----------	------


 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	06/04/2013
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/2020
--	-----------	------------

 Uniform Securities Agent State Law Examination (S63)	Series 63	11/04/2013
--	-----------	------------

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
IA	03/17/2023 - 10/30/2024	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	BOCA RATON, FL
B	02/24/2023 - 10/30/2024	B. RILEY WEALTH MANAGEMENT	CRD# 2543	BOCA RATON, FL
IA	11/30/2020 - 03/03/2023	STOEVER GLASS WEALTH MANAGEMENT, INC.	CRD# 173091	NEW YORK, NY
B	01/08/2020 - 03/03/2023	STOEVER, GLASS & COMPANY INC.	CRD# 7031	Boca Raton, FL
B	01/22/2019 - 12/23/2019	HERBERT J. SIMS & CO, INC.	CRD# 3420	BOCA RATON, FL
B	06/05/2013 - 01/24/2019	THE GMS GROUP, LLC	CRD# 8000	BOCA RATON, 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
10/2024 - Present	Kestra Advisory Services LLC	Investment Advisor	Y	Boca Raton, FL, United States
10/2024 - Present	Kestra Investment Services LLC	Registered Representative	Y	Boca Raton, FL, United States
02/2023 - 10/2024	B. RILEY WEALTH ADVISORS, INC.	Financial Advisor	Y	Memphis, TN, United States
02/2023 - 10/2024	B. Riley Wealth Management	Registered Representative	Y	Memphis, TN, United States
11/2020 - 02/2023	stoever glass wealth management	registered investment advisor	Y	boca raton, FL, United States
01/2020 - 02/2023	Stoever Glass & Co.	Broker	Y	New York, NY, United States
01/2019 - 12/2019	HERBERT J. SIMS & CO, INC	Rep	Y	BOCA RATON, FL, United States
02/2013 - 01/2019	THE GMS GROUP, L.L.C.	BROKER TRAINEE	Y	BOCA RATON, FL, 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.

Business Name: KESTRA ADVISORY SERVICES POS: Investment Advisor Representative NOB: Investment advisory services through Kestra Advisory Services, LLC INV REL: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 09/26/2024 ADDRESS: 5707 Southwest Parkway Building 2, Suite 400, Austin TX 78735 DESC: Managing clients accounts

Business Name: WEALTH EMPOWERMENT FINANCIAL POS: RR NOB: Registered rep activities through Kestra Investment Services INV REL: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 09/26/2024 ADDRESS: 2424 N Federal Hwy Ste 400, Boca Raton FL 33431 DESC: RR



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
Financial	6

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 6

Reporting Source: Individual

Action Type: Compromise

Action Date: 06/01/2022

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 09/12/2022

If a compromise with creditor, provide:

Name of Creditor: JPMCB

Original Amount Owed: \$2,811.00

Terms Reached with Creditor: Original balance 1/8/2019 at \$2811. Entered plan to pay \$50 per month for 60 months at reduced rate. June 2022 balance remaining was \$1486. Chase agreed to split 45/55. My portion was \$668 or \$67 a month for 4 months. Account was paid for August 2022.

Disclosure 2 of 6

Reporting Source: Individual

Action Type: Compromise

Action Date: 09/13/2022

Organization Investment-Related?



Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 07/08/2024

If a compromise with creditor, provide:

Name of Creditor: Discover Bank #3517

Original Amount Owed: \$8,700.00

Terms Reached with Creditor: Original balance 2/21/2019 \$8700. Entered plan to pay full balance over 60 months= \$145 per month. In September 2022 balance was \$3610 Discover agreed to split 75/25 I paid 75% or \$2707 those payments were for \$112 per month for 24 months.

Disclosure 3 of 6

Reporting Source: Individual

Action Type: Compromise

Action Date: 03/24/2023

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/24/2023

If a compromise with creditor, provide:

Name of Creditor: Discover Bank

Original Amount Owed: \$5,743.00

Terms Reached with Creditor: Original amount 2/21/2019 was \$5743. Plan to pay \$100 per month over 60 months at reduced rate. In September 2022 balance was \$2492 Discover agreed to split 75/25 my portion was \$1869 or \$78 per month for 24 months. On 3/27/23 I made a lump sum payment \$1168 to settle my portion and the account.

Disclosure 4 of 6

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/01/2023

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/24/2023



If a compromise with creditor, provide:

Name of Creditor: Comenity
Original Amount Owed: \$8,040.00
Terms Reached with Creditor: Original balance 12/4/2018 was \$8040. Entered plan to pay full balance over 60 months= \$134 per month. In February 2023 balance was \$2500. Comenity agreed to accept 60/40 split. I paid 60% of \$1500 with \$375 payments in Feb/Mar/Apr/May.

Disclosure 5 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 09/09/2022
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 12/02/2022

If a compromise with creditor, provide:

Name of Creditor: US Bank
Original Amount Owed: \$3,454.00
Terms Reached with Creditor: Original balance 12/27/18 was \$3454. Entered 60 month plan at reduced rate 4.9% which equaled \$67 per month. September 2022 balance remaining was \$1312. US Bank agreed to split 50/50, my total was \$656 which was paid within 90 days.

Disclosure 6 of 6

Reporting Source: Individual
Action Type: Compromise
Action Date: 05/16/2023
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 07/05/2023

If a compromise with creditor, provide:

Name of Creditor: Barclays
Original Amount Owed: \$2,600.00



Terms Reached with Creditor: Original balance 12/25/2018 \$2600. In May 2023 balance was \$1588. Barclays agreed to split 45/55 I was responsible to pay \$720 over 3 months at \$240 per month. May- June- July.



End of Report

This page is intentionally left blank.