

James P. King

Independent Financial Advisor
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This Brochure Supplement provides information about James King that supplements the B. Riley Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact B. Riley's Compliance Department if you did not receive the B. Riley Wealth Advisors Brochure or if you have any questions about the contents of this Supplement.

Additional information about this Financial Advisor is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 – Business Experience and Educational Background

CRD #: 5586602

Year of Birth: 1985

Education: Questrom School of Business (Formerly Boston University School of Management), Bachelor of Science in Business Administration, Concentration in Finance, 2008

Business Experience:

July 2022 to Present	Financial Advisor, B. Riley Wealth Advisors Registered Representative, B. Riley Wealth Management
June 2021 to July 2022	Financial Advisor, National Asset Management Registered Representative, National Securities Corp.
February 2019 to June 2021	Financial Advisor, Equitable Advisors, LLC.
October 2018 to June 2021	Registered Representative, Equitable Advisors, LLC.
May 2012 to May 2018	Portfolio Consultant, Marlcroft Asset Management LLC.

Item 3 – Disciplinary Information

Mr. King has no disciplinary actions to disclose.

Item 4 – Other Business Activities

Mr. King is a registered representative with B. Riley Wealth Management, Inc. (“BRWM”), member FINRA/SIPC, as well as an investment advisory representative (“IAR”) of B. Riley Wealth Advisors, Inc. (“BRWA”) and licensed to conduct business in this state.

Registered representatives of BRWM provide securities brokerage services for commissions and receive a portion of the brokerage commissions paid to BRWM. They may also receive a portion of any ongoing distribution of service (trail) fees from the sale of mutual funds or from variable annuity purchases. The dual registration presents an inherent conflict of interest and an incentive to recommend investment products based on the compensation received, rather than on a client’s needs.

However, in accordance with fiduciary duties of an IAR and as a matter of Firm procedure, IARs assist clients in making decisions regarding whether to establish a brokerage or an advisory account (and determine the types of transactions that will take place through each account if a client has both accounts) based on the clients’ goals, objectives, risk tolerance, and other factors.

As a registered representative of BRWM, Mr. King can only offer those products and services available through BRWM. Mr. King will direct all your broker-dealer securities transactions through BRWM, and he will only offer advisory programs available through BRWA. This means that you may be able to receive better transaction pricing and execution at a different broker-dealer, and you may be able to receive a more appropriate advisory program from a different registered investment advisor.

Item 5 – Additional Compensation

As an SEC-registered Investment Adviser, BRWA pays Mr. King a portion of any investment advisory fees collected. As a Broker-Dealer, BRWM pays Mr. King a portion of any commissions, markups and transaction

charges collected, but only on non-advisory assets. Other than normal production bonuses, Mr. King does not receive additional compensation based on the amount of new accounts or client referrals.

Item 6 – Supervision

BRWA provides investment advisory and supervisory services in accordance with the BRWA Policies and Procedures. Each advisor associated with BRWA has been assigned a supervising principal. The supervising principal, or any properly documented qualified designee, is responsible for undertaking the day-to-day supervision of the advisor's activities. Supervising principals have primary responsibility to review and approve the account activities of the advisors assigned to them and may counsel with the Compliance Department to address perceived issues as deemed appropriate. The Compliance & Supervision Departments also provide additional oversight functions, as necessary. Each BRWA advisor must acknowledge that he or she is aware of and agrees to abide by all applicable government and industry regulations as well as the BRWA Code of Ethics.

Steven Maurer, OSJ Principal/ Branch Manager, has primary responsibility for the supervision of Mr. King and may be reached at 561-392-1011.