

Ken Gilmore

Independent Financial Advisor

23 Center Street

Chatham, NJ 07928

973-507-0700

kgilmore@fcgfinancial.com



40 S. Main St., Suite 1800

Memphis, TN 38103

1-800-726-0557

August 29, 2022

This Brochure Supplement provides information about Ken Gilmore 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 #: 1047301

Year of Birth: 1956

Education: Kean University, Bachelor of Science in Economics 1979

American Institute of Banking, NJ Chapter, 1980

Caldwell University, Master's Degree in Accounting, 2013

Business Experience:

July 2022 to Present	Financial Advisor, B. Riley Wealth Advisors
	Registered Representative, B. Riley Wealth Management
January 2010 to July 2022	Financial Advisor, National Asset Management
December 2009 to July 2022	Registered Representative, National Securities Corp.

Professional Designations:

CDFA – Certified Divorce Financial Analyst

A CDFA designee focuses on the financial issues surrounding divorce. A financial professional with the CDFA designation uses his or her knowledge of asset distribution, and short- and long-term financial planning to help clients toward achieving an equitable settlement. To earn the CDFA designation, one must have two years of financial planning or legal experience. Candidates are then required to complete a four-step modular program and exam designed by the Institute for Divorce Financial Analysts™ (IDFA). The IDFA is registered with the National Association of State Boards of Accountancy as a sponsor of continuing professional education on the National Registry of CPE Sponsors.

CRPC® – Chartered Retirement Plan Counselor

Individuals who hold the CRPC® designation have completed a course of study encompassing pre- and post-retirement needs, asset management, estate planning, and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

Item 3 – Disciplinary Information

Mr. Gilmore has no disciplinary actions to disclose.

Item 4 – Other Business Activities

Mr. Gilmore uses the business name Financial Consultant Group for marketing and/or tax purposes only but offers securities and investment advice through the registered broker-dealer and investment advisor described below.

Mr. Gilmore 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. Gilmore can only offer those products and services available through BRWM. Mr. Gilmore will direct all your broker-dealer securities transactions through BRWM and 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.

Mr. Gilmore is a licensed insurance agent with various insurance companies (a complete list will be provided upon request) through B. Riley Wealth Insurance. Mr. Gilmore is authorized to offer and sell some or all of the following insurance products: fixed life & annuities, disability, long term care, and employer benefit products. If you purchase an insurance product, the insurance company will pay Mr. Gilmore a commission and/or other fees. All such payments are separate from and in addition to the advisory fee.

Mr. Gilmore serves as a Committee Member with Children's Specialized Hospital, Mountainside, NJ. He does not receive compensation for this position, but from time to time may be involved in fundraising activities for the institution.

Mr. Gilmore also serves on the Board of Trustees for Caldwell University. He does not receive compensation for this position, but from time to time may be involved in fundraising activities for the institution.

Item 5 – Additional Compensation

As an SEC-registered Investment Adviser, BRWA pays Mr. Gilmore a portion of any investment advisory fees collected. As a Broker-Dealer, BRWM pays Mr. Gilmore a portion of any commissions, markups and transaction charges collected, but only on non-advisory assets. Mr. Gilmore 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.

Peter Beljakovic, Regional Supervisory Officer, has primary responsibility for the supervision of Mr. Gilmore and may be reached at 212-417-8111.