



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

STATION PLACE  
100 F STREET, NE  
WASHINGTON, DC 20549-2465

Office of FOIA Services

March 25, 2024

Mr. Nathan Koppikar

(b)(6)

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. **24-01851-FOIA**

Dear Mr. Koppikar:

This letter is in response to your request, dated and received in this office on March 21, 2024, for access to the Form X-17A-5 for B. Riley Securities Inc. (SEC File No. 8-41426) from February 29, 2024 through March 21, 2024.

The SEC no longer maintains a contract with a copy service to provide copies of paper filings such as those requested. Please be advised that these filings are publicly available through the SEC website within 30-45 days of the filing date. Please check the SEC website ([www.sec.gov](http://www.sec.gov)) and access these filings by using the "Company Filing Search" link under the "Filings" header and following the on-line instructions. After 45 days, if the filing has not yet been posted, please resubmit a request for the requested record(s).

You may contact me if you have any questions at [morrowa@sec.gov](mailto:morrowa@sec.gov) or (202) 551-8376. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

A handwritten signature in cursive script that reads "Alysia Morrow".

Alysia Morrow  
FOIA Research Specialist

Enclosures

## ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at [ogis@nara.gov](mailto:ogis@nara.gov). Information concerning services offered by OGIS can be found at their website at [Archives.gov](https://www.archives.gov). Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.