



IAPD Report

WILLIAM PAUL ST.CLAIR

CRD# 2929373

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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

WILLIAM PAUL ST.CLAIR (CRD# 2929373)

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 **10/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	DAI SECURITIES, LLC	CRD# 36673	03/08/2023
IA	PROSPERITY - AN EISNERAMPER COMPANY	CRD# 133777	11/15/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	EISNERAMPER WEALTH MANAGEMENT & CORPORATE BENEFITS, LLC	121863	Mount Laurel, NJ	09/01/2022 - 11/15/2023
B	APW CAPITAL, INC.	43814	Philadelphia, PA	09/02/2022 - 01/17/2023
B	COMMONWEALTH FINANCIAL NETWORK	8032	Philadelphia, PA	11/26/2007 - 09/06/2022

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
Regulatory Event	1



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

Employment 1 of 2

Firm Name: **PROSPERITY - AN EISNERAMPER COMPANY**
Main Address: 10065 RED RUN BOULEVARD
SUITE 200
OWINGS MILLS, MD 21117
Firm ID#: 133777

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	09/15/2025
IA New Jersey	Investment Adviser Representative	Approved	11/24/2023
IA Pennsylvania	Investment Adviser Representative	Approved	11/15/2023

Branch Office Locations

PROSPERITY - AN EISNERAMPER COMPANY
305 FELLOWSHIP ROAD
SUITE 200
MOUNT LAUREL, NJ 08054

Employment 2 of 2

Firm Name: **DAI SECURITIES, LLC**
Main Address: 2800 CENTURY PARKWAY NE
SUITE 650
ATLANTA, GA 30345
Firm ID#: 36673

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/08/2023
B FINRA	Invest. Co and Variable Contracts	Approved	03/08/2023
B Florida	Agent	Approved	03/08/2023



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	03/08/2023
B New Jersey	Agent	Approved	03/08/2023
B Pennsylvania	Agent	Approved	03/08/2023

Branch Office Locations

St Petersburg, FL



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 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/28/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/29/1997

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/21/1997
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/28/1997

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	09/01/2022 - 11/15/2023	EISNERAMPER WEALTH MANAGEMENT & CORPORATE BENEFITS, LLC	CRD# 121863	Mount Laurel, NJ
B	09/02/2022 - 01/17/2023	APW CAPITAL, INC.	CRD# 43814	Philadelphia, PA
B	11/26/2007 - 09/06/2022	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	Philadelphia, PA
IA	11/26/2007 - 09/06/2022	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	Philadelphia, PA
IA	06/26/2002 - 11/29/2007	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	MERCHANTVILLE, NJ
B	09/08/2000 - 11/29/2007	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	MERCHANTVILLE, NJ
B	01/05/1999 - 09/07/2000	THE INVESTMENT CENTER, INC.	CRD# 17839	BEDMINSTER, NJ
B	01/02/1998 - 01/04/1999	CPA ADVISORS NETWORK, INC.	CRD# 10880	PROVIDENCE, RI
B	10/30/1997 - 01/14/1998	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE

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
11/2023 - Present	PROSPERITY - AN EISNERAMPER COMPANY	INVESTMENT ADVISER REPRESENTATIVE	Y	MOUNT LAUREL, NJ, United States
02/2023 - Present	DAI SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
03/2023 - 11/2023	EISNERAMPER WEALTH MANAGEMENT & CORPORATE BENEFITS, LLC	WEALTH ADVISOR	Y	MOUNT LAUREL, NJ, United States
03/2023 - 11/2023	EISNERAMPER, LLP / EISNER ADVISORY GROUP, LLC	CPA / PARTNER	N	MOUNT LAUREL, NJ, United States
08/2022 - 03/2023	EISNERAMPER WEALTH MANAGEMENT & CORPORATE BENEFITS, LLC	Wealth Advisor	Y	Merchantville, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2021 - 03/2023	EisnerAmper, LLP	CPA/Partner	N	Merchantville, NJ, United States
09/2022 - 02/2023	APW INC	Producer	Y	Rockaway, NJ, United States
06/2022 - 09/2022	APW INC	NRF	Y	Rockaway, NJ, United States
11/2007 - 09/2022	COMMONWEALTH FINANCIAL NETWORK	REGISTERED REP	Y	WALTHAM, MA, United States
09/1997 - 08/2022	CPA FINANCIAL GROUP, LLC	WEALTH ADVISOR	Y	Merchantville, NJ, 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. Fixed Insurance Sales. Start Date: 10/01/1997, 10% of time spent during business hours, Conducted at branch location; Investment related.
2. Prosperity - An EisnerAmper Company; 305 Fellowship Road, Suite 200, Mt. Laurel, NJ 08109. Start Date - 11/2023. Investment-Related. Wealth Advisor. 90% of time spent during business hours. Duties include financial planning.
3. Friends of Father Judge High School Inc; Not Investment Related; Philadelphia, PA; Non-Profit Organization; Chairman of the Board; 3/2025; 20 hours; 5 hours; Board responsibilities, consultations, meetings with Administration, high school events.
4. EisnerAmper LP / Eisner Advisory Group LLC; Not Investment Related; Mt Laurel, NJ; CPA Firm; Retired CPA Partner; 3/2025; 20 hours; 20 hours; Tax Review and Tax Consultations with Clients



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/15/2025
Docket/Case Number:	130238-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	PROSPERITY - AN EISNERAMPER COMPANY
Product Type:	No Product
Allegations:	The Office finds that St. Clair violated section 517.12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of Prosperity.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/15/2025



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 09/15/2025

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On September 15, 2025, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of William St. Clair (St. Clair). St. Clair neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office found that St. Clair violated section 517.12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of Prosperity. St. Clair agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$5,000.

Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 09/15/2025

Docket/Case Number: 130238-SR

Employing firm when activity occurred which led to the regulatory action: PROSPERITY - AN EISNERAMPER COMPANY

Product Type: No Product

Allegations: The Florida Office of Financial Regulation (FOFR) found that Mr. St. Clair violated section 517.12(3) of the Florida Statutes by rendering investment advice from a Florida location without being registered with FOFR as an investment adviser representative of Prosperity.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/15/2025

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$5,000.00

Portion Levied against individual:

\$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

09/15/2025

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

FOFR's findings concerned remote work conducted by Mr. St. Clair in Florida from his primary residence. At no point during the period in question did he have a place of business in Florida that was held out to clients or the general public. Nevertheless, in order to expeditiously resolve the matter, and without admitting or denying the findings, Mr. St. Clair agreed to the entry of an order with those findings and payment of a civil money penalty of \$5,000. Mr. St. Clair remains committed to upholding a high standard of integrity in all of his professional endeavors.



End of Report

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