



IAPD Report

RALPH EDWARD METZ JR

CRD# 4687011

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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

RALPH EDWARD METZ JR (CRD# 4687011)

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 **11/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	08/24/2009
IA	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	CRD# 154632	01/05/2022

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **32** 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	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	154632	NEW YORK, NY	07/13/2018 - 12/31/2021
B	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY	07/30/2008 - 09/02/2009
B	CASIMIR CAPITAL L.P.	105061	NEW YORK, NY	03/08/2006 - 08/26/2008

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
Criminal	1
Customer Dispute	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 **32** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**
Main Address: 45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006
Firm ID#: 146251

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/24/2009
B FINRA	General Securities Principal	Approved	02/18/2016
B Nasdaq Stock Market	General Securities Principal	Approved	11/22/2024
B Nasdaq Stock Market	General Securities Representative	Approved	11/22/2024
B Arizona	Agent	Approved	03/31/2011
B California	Agent	Approved	08/24/2009
B Colorado	Agent	Approved	08/24/2009
B Connecticut	Agent	Approved	08/24/2009
B District of Columbia	Agent	Approved	10/25/2019
B Florida	Agent	Approved	03/31/2011
B Georgia	Agent	Approved	08/24/2009
B Illinois	Agent	Approved	08/24/2009
B Indiana	Agent	Approved	06/14/2012



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	04/30/2013
B	Kansas	Agent	Approved	05/06/2013
B	Kentucky	Agent	Approved	08/09/2012
B	Louisiana	Agent	Approved	07/08/2013
B	Maryland	Agent	Approved	03/31/2011
B	Massachusetts	Agent	Approved	03/31/2011
B	Michigan	Agent	Approved	12/23/2015
B	Minnesota	Agent	Approved	03/31/2011
B	Missouri	Agent	Approved	08/24/2009
B	New Jersey	Agent	Approved	08/24/2009
B	New York	Agent	Approved	08/24/2009
B	North Carolina	Agent	Approved	08/24/2009
B	North Dakota	Agent	Approved	09/24/2015
B	Ohio	Agent	Approved	08/24/2009
B	Oklahoma	Agent	Approved	10/21/2013
B	Oregon	Agent	Approved	03/31/2011
B	Pennsylvania	Agent	Approved	08/24/2009
B	South Carolina	Agent	Approved	01/28/2022
B	South Dakota	Agent	Approved	08/03/2021



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	08/24/2009
B Virginia	Agent	Approved	08/24/2009
B Washington	Agent	Approved	08/24/2009
B Wisconsin	Agent	Approved	05/28/2013

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006

Employment 2 of 2

Firm Name: **SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC**
 Main Address: 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006
 Firm ID#: 154632

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	01/05/2022
IA New Jersey	Investment Adviser Representative	Approved	01/05/2022

Branch Office Locations

SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC
 45 BROADWAY
 19TH FLOOR
 NEW YORK, NY 10006




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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/18/2016

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/01/2006
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/27/2003

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	01/30/2017
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/2003

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	07/13/2018 - 12/31/2021	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	CRD# 154632	NEW YORK, NY
B	07/30/2008 - 09/02/2009	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
B	03/08/2006 - 08/26/2008	CASIMIR CAPITAL L.P.	CRD# 105061	NEW YORK, NY
B	08/28/2003 - 05/18/2005	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

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
08/2009 - Present	SPARTAN CAPITAL SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

Ralph Metz is an investor for his brother in regards to CrossFit Gym. For his investment, Ralph will be a 22% owner of company. Any time dedicated to this activity will be done after trading hours. Located at 25 Minneakoning Rd., Flemington, NJ 08822. Not investment-related business.

Registered with affiliate Spartan Capital Private Wealth Management.



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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	MUNICIPAL CITY COURT
Location of Court:	HOBOKEN, NJ
Docket/Case #:	CASE# 14-9743
Charge Date:	02/19/2014
Charge(s) 1 of 2	
Formal Charge(s)/Description:	2C:12-10B / STALKING
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Pled not guilty
Charge(s) 2 of 2	



Formal Charge(s)/Description:	2C:18-2A, BURGLARY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Pled not guilty
Date of Amended Charge:	02/20/2015
Charge was Amended or reduced to:	HARASSMENT 2C:33-4
Amended No of Counts:	1
Amended Charge:	PETTY DISORDERLY PERSON
Amended Plea:	GUILTY
Disposition of Amended Charge:	THE CHARGE IS A PETTY DISORDERLY PERSON, APPLICANT PAID FINE AND PENALTIES ONLY
Current Status:	Final
Status Date:	02/20/2015
Disposition Date:	02/20/2015
Sentence/Penalty:	APPLICANT CHARGES WAS AMENDED TO HARASSMENT, PETTY DISORDERLY PERSON OFFENSE, APPLICANT WAS SENTENCED TO A FINE AND FEES OF TOTALING \$125.00; DISMISSAL OF THE BALANCE OF INDICTMENT.
Broker Statement	APPLICANT AGREE TO A PETTY DISORDERLY PERSONS OFFENSE AND \$125.00 FINE, WITH NO CRIMINAL RECORD IN AGREEMENT WITH THE PROSECUTOR. THE REMAINING CHARGES WERE DISMISSED.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SPARTAN CAPITAL SECURITIES LLC
Allegations:	Claimant alleges unsuitable transactions.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$500,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	18-00082
Filing date of arbitration/CFTC reparation or civil litigation:	03/02/2018

Customer Complaint Information

Date Complaint Received:	04/21/2018
Complaint Pending?	No
Status:	Denied
Status Date:	04/04/2019

Settlement Amount:

Individual Contribution Amount:

Broker Statement

Claimant has "extensive" investment experience, high net worth and high annual income, was worth over \$3,000,00 and represented such to the applicant. When Claimant agreed to invest in the private placement and , contrary to his demonstrably false assertion that he was a "conservative investor," Claimant expressly opted to pursue an aggressive, speculative investing strategy that included the purchase and sale of options, and expressly represented to Spartan that he was willing to accept "high risk," recognizing that he could lose a substantial amount of his investment. Applicant pursued this aggressive investing strategy on Claimant's behalf, advising Claimant and obtaining his authorization before each transaction, and sending Claimant a Confirmation Notice for each transaction, along with monthly statements. At no time did Claimant complain



about the nature of the investments made on his account, or otherwise suggest that the market losses that he suffered were the result of any misconduct on the part of applicant. Furthermore, claimant had a personal relationship with management of the issuer of which he invested in and pursued the investment. The claim is a specious attempt to recoup market losses. Moreover, the damages sought by claimant are approximately \$450,000.00 more than his investment.

DECISION;

Pursuant to rule 12805 of the code, the panel has made the following rule 2080 affirmative findings of fact: The claim, allegations, or information is factually impossible or clearly erroneous; and the claim, allegation, to information is false. The panel had made rule 2080 findings based on the following reasons: The Claimant's Statement of Claim did not support the testimony and was not convincing, nor was it accurate. All of the trades in the account were authorized and suitable.



End of Report

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