



IAPD Report

William Esteban Romero

CRD# 5127697

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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 Esteban Romero (CRD# 5127697)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	03/09/2026
IA	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	CRD# 154632	03/09/2026

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **12** 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	MML INVESTORS SERVICES, LLC	10409	GARDEN CITY, NY	10/20/2023 - 06/10/2025
B	MML INVESTORS SERVICES, LLC	10409	GARDEN CITY, NY	10/16/2023 - 06/10/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	New York, NY	11/01/2018 - 10/13/2023

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
Customer Dispute	2
Termination	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 **12** 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
	FINRA	General Securities Principal	Approved	03/10/2026
	FINRA	General Securities Representative	Approved	03/10/2026
	FINRA	General Securities Sales Supervisor	Approved	03/10/2026
	FINRA	Municipal Securities Principal	Approved	03/10/2026
	FINRA	Municipal Securities Representative	Approved	03/10/2026
	Nasdaq Stock Market	General Securities Representative	Approved	03/09/2026
	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/09/2026
	Nasdaq Stock Market	General Securities Principal	Approved	03/10/2026
	Arizona	Agent	Approved	04/02/2026
	Connecticut	Agent	Approved	03/12/2026
	Florida	Agent	Approved	03/11/2026
	Maryland	Agent	Approved	04/28/2026
	New Jersey	Agent	Approved	03/13/2026



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	03/11/2026
B	Ohio	Agent	Approved	04/23/2026
B	Pennsylvania	Agent	Approved	03/18/2026
B	Rhode Island	Agent	Approved	04/23/2026
B	Texas	Agent	Approved	04/27/2026
B	Virginia	Agent	Approved	04/23/2026
B	West Virginia	Agent	Approved	04/23/2026

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	New Jersey	Investment Adviser Representative	Approved	03/09/2026

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/09/2012
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/15/2012
B	Municipal Securities Principal Examination (S53)	Series 53	06/30/2011
B	General Securities Principal Examination (S24)	Series 24	09/22/2010

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	02/22/2018
B	General Securities Representative Examination (S7)	Series 7	06/23/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/30/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/15/2006



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	10/20/2023 - 06/10/2025	MML INVESTORS SERVICES, LLC	CRD# 10409	GARDEN CITY, NY
B	10/16/2023 - 06/10/2025	MML INVESTORS SERVICES, LLC	CRD# 10409	GARDEN CITY, NY
IA	11/01/2018 - 10/13/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	New York, NY
B	10/19/2018 - 10/13/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	New York, NY
IA	05/23/2017 - 02/22/2018	EAGLE STRATEGIES LLC	CRD# 110826	NEW YORK, NY
B	02/02/2017 - 02/22/2018	NYLIFE SECURITIES LLC	CRD# 5167	NEW YORK, NY
IA	09/09/2015 - 01/18/2017	AXA ADVISORS, LLC	CRD# 6627	ASTORIA, NY
B	04/27/2015 - 01/18/2017	AXA ADVISORS, LLC	CRD# 6627	ASTORIA, NY
B	10/01/2012 - 02/10/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	ASTORIA, NY
IA	10/01/2012 - 02/10/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	ASTORIA, NY
IA	05/06/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	JACKSON HEIGHTS, NY
B	01/08/2007 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	JACKSON HEIGHTS, NY
B	06/26/2006 - 12/19/2006	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY

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
02/2026 - Present	Spartan Capital Provate WEalth Management, LLC	Agent	Y	New York, NY, United States
02/2026 - Present	Spartan Capital Securities, LLC	Registered Representative	Y	New York, NY, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2025 - 03/2026	Fuentas Wealth	Consultant	Y	New York, NY, United States
10/2023 - 06/2025	MML Investors Services LLC	Registered Rep	Y	Garden City, NY, United States
10/2023 - 06/2025	MassMutual Life Insurance Company	Agent	Y	Garden City, NY, United States
10/2018 - 10/2023	Ameriprise Financial Services, INC.	Registered Representative	Y	New York, NY, United States
05/2017 - 10/2018	EAGLE STRATEGIES LLC	IAR	Y	NEW YORK, NY, United States
02/2017 - 10/2018	NYLIFE Securities LLC	Registered Representative	Y	New York, NY, United States
01/2017 - 10/2018	New York Life Insurance Co	Agent	Y	New York, NY, United States
04/2015 - 01/2017	AXA ADVISORS, LLC	Vice President	Y	Astoria, 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.

No information reported.



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
Customer Dispute	2
Termination	1

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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES, LLC

Allegations: Client alleged that the fees and costs associated with a variable annuity purchase were misrepresented after she rolled over assets from her employer sponsored retirement plan in late 2021. In addition, due to an advisor error, client paid duplicate insurance premiums for 10 months related to a delayed 1035 exchange.

Product Type: Annuity-Variable Insurance

Alleged Damages: \$18,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/21/2022

Complaint Pending? No

Status: Denied

Status Date: 12/02/2022

Settlement Amount:



**Individual Contribution
Amount:**

Disclosure 2 of 2

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** CHASE INVESTMENT SERVICES CORP.

Allegations: CUSTOMER ALLEGES FORGERY RELATED TO A FIXED ANNUITY
PURCHASE. ACTIVITY DATES 07/31/2009-07/31/2009.

Product Type: Annuity-Fixed

Alleged Damages: \$1,365.19

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 07/26/2011

Complaint Pending? No

Status: Settled

Status Date: 09/20/2011

Settlement Amount: \$1,365.19

**Individual Contribution
Amount:** \$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: J.P. MORGAN SECURITIES LLC

Termination Type: Voluntary Resignation

Termination Date: 01/12/2015

Allegations: REGISTERED REP VOLUNTARILY RESIGNED WHILE UNDER INTERNAL REVIEW FOR TRANSFERRING CUSTOMER ACCOUNTS AT THE REQUEST OF A SUBORDINATE EMPLOYEE IN ORDER TO AVOID A NEGATIVE IMPACT TO THE SUBORDINATE EMPLOYEE'S INCENTIVE COMPENSATION.

Product Type: No Product

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Reporting Source: Individual

Firm Name: J.P. MORGAN SECURITIES LLC

Termination Type: Voluntary Resignation

Termination Date: 01/12/2015

Allegations: REGISTERED REP VOLUNTARILY RESIGNED WHILE UNDER INTERNAL REVIEW FOR TRANSFERRING CUSTOMER ACCOUNTS AT THE REQUEST OF A SUBORDINATE EMPLOYEE IN ORDER TO AVOID A NEGATIVE IMPACT TO THE SUBORDINATE EMPLOYEE'S INCENTIVE COMPENSATION.

Product Type: No Product



End of Report

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