



IAPD Report

William Andrew Baris

CRD# 6178840

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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 Andrew Baris (CRD# 6178840)

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 **08/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	06/27/2025
IA	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	CRD# 154632	06/30/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **21** 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
B	PHX FINANCIAL, INC.	144403	Hauppauge, NY	03/12/2025 - 05/13/2025
B	COVA CAPITAL PARTNERS LLC	109761	SYOSSET, NY	03/07/2022 - 03/13/2025
B	NETWORK 1 FINANCIAL SECURITIES INC.	13577	SYOSSET, NY	05/15/2020 - 06/25/2020

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
Judgment/Lien	2



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 **21** 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	06/27/2025
B Nasdaq Stock Market	General Securities Representative	Approved	06/27/2025
B Arizona	Agent	Approved	07/07/2025
B California	Agent	Approved	06/27/2025
B Connecticut	Agent	Approved	06/30/2025
B Florida	Agent	Approved	11/10/2025
B Georgia	Agent	Approved	06/30/2025
B Idaho	Agent	Approved	06/30/2025
B Illinois	Agent	Approved	07/08/2025
B Indiana	Agent	Approved	07/02/2025
B Iowa	Agent	Approved	07/21/2025
B Kansas	Agent	Approved	06/30/2025
B Louisiana	Agent	Approved	06/30/2025



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	07/02/2025
B Nevada	Agent	Approved	08/28/2025
B New Jersey	Agent	Approved	06/30/2025
B New York	Agent	Approved	06/28/2025
B North Carolina	Agent	Approved	07/01/2025
B Ohio	Agent	Approved	07/02/2025
B Pennsylvania	Agent	Approved	06/30/2025
B South Carolina	Agent	Approved	06/30/2025
B Texas	Agent	Approved	06/27/2025
B Virginia	Agent	Approved	08/27/2025

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
Manorville, NY

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	06/30/2025

Branch Office Locations

SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC
Manorville, NY



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, 2 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
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General Securities Representative Examination (S7)	Series 7	05/07/2013
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/25/2025
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Uniform Securities Agent State Law Examination (S63)	Series 63	06/12/2013
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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
B	03/12/2025 - 05/13/2025	PHX FINANCIAL, INC.	CRD# 144403	Hauppauge, NY
B	03/07/2022 - 03/13/2025	COVA CAPITAL PARTNERS LLC	CRD# 109761	SYOSSET, NY
B	05/15/2020 - 06/25/2020	NETWORK 1 FINANCIAL SECURITIES INC.	CRD# 13577	SYOSSET, NY
B	06/03/2019 - 01/10/2020	JOSEPH STONE CAPITAL L.L.C.	CRD# 159744	MINEOLA, NY
B	11/01/2018 - 07/08/2019	ALLIED MILLENNIAL PARTNERS, LLC	CRD# 16569	NEW YORK, NY
B	03/30/2018 - 11/02/2018	ARIVE CAPITAL MARKETS	CRD# 8060	Coram, NY
B	11/19/2015 - 04/27/2018	FIRST STANDARD FINANCIAL COMPANY LLC	CRD# 168340	Garden City, NY
B	05/15/2013 - 10/16/2015	ROCKWELL GLOBAL CAPITAL LLC	CRD# 142485	MELVILLE, 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
11/2020 - Present	Savage Business Sales	Owner	N	Manorville, NY, United States
03/2025 - 05/2025	PHX FINANCIAL, INC.	Registered Representative	Y	HAUPPAUGE, NY, United States
05/2020 - 10/2020	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, United States
06/2019 - 03/2020	JOSEPH STONE CAPITAL, LLC	REGISTERED REP	Y	MINEOLA, NY, United States
11/2018 - 06/2019	Allied Millennial Partners	Registered Representative	Y	New York, NY, United States
03/2018 - 11/2018	Arive Capital Markets	Registered Representative	Y	Brooklyn, NY, United States
11/2015 - 03/2018	First Standard Financial Company	Registered Representative	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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) savage business sales consulting corp, manorville, NY, owner, established for tax purpose, non investment related, 4 hours a month,



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
Judgment/Lien	2

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:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	06/02/2020
Docket/Case Number:	19-00713

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: Respondent Baris failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

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: 07/15/2020

Sanctions Ordered: Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?



Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All capacities

Duration: n/a

Start Date: 07/15/2020

End Date: 09/03/2020

Regulator Statement Expedited Proceeding No. ARB200024; STAR No. 20200670083: On July 15, 2020 an order granting a motion to strike Baris' defense and request for hearing was issued. Baris failed to provide required documents or appear for a pre-hearing conference. As a result, FINRA found that Baris has abandoned his defense and waived his opportunity for a hearing. Pursuant to Article VI, Section 3(a) of FINRA By-Laws, and FINRA Rule 9559(n), Respondent Baris is suspended on July 15, 2020 for failure to comply with a settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. The Notice of Intent to Suspend is hereby deemed to be final FINRA action. Suspension lifted on September 3, 2020.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 07/15/2020

Docket/Case Number: 19-00713

Employing firm when activity occurred which led to the regulatory action: None

Product Type: No Product

Allegations: The allegation was that his former employer was owed funds from a signing bonus.. The obligation has been rectified and paid in full.

Current Status: Final

Resolution: Settled

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: 09/03/2020

Sanctions Ordered: Other: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: 50 Days



Start Date: 07/15/2020
End Date: 09/03/2020
Requalification 1 of 1
Requalification Type: Suspension
Length of time given to requalify:
Type of exam required :
Has condition been satisfied: Yes



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$16,222.02
Judgment/Lien Type:	Tax
Date Filed with Court:	03/17/2020
Date Individual Learned:	07/15/2020
Type of Court:	State Court
Name of Court:	Nassau county Clerks Office
Location of Court:	Mineola NY
Docket/Case #:	20200056310
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$33,746.93
Judgment/Lien Type:	Tax
Date Filed with Court:	03/17/2020
Date Individual Learned:	07/15/2020
Type of Court:	State Court
Name of Court:	Nassau County Clerks Office
Location of Court:	Mineola NY
Docket/Case #:	20200056310
Judgment/Lien Outstanding?	Yes



End of Report

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