

## BrokerCheck Report

### BARNABAS CAPITAL, LLC

CRD# 297890

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## BARNABAS CAPITAL, LLC

CRD# 297890

SEC# 8-70192

### Main Office Location

227 WEST TRADE STREET  
SUITE 1610  
CHARLOTTE, NC 28202  
Regulated by FINRA Atlanta Office

### Mailing Address

227 WEST TRADE STREET  
SUITE 1610  
CHARLOTTE, NC 28202

### Business Telephone Number

833-877-7984

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 06/15/2018.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 06/15/2018.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### **BARNABAS CAPITAL, LLC**

**Doing business as BARNABAS CAPITAL, LLC**

**CRD#** 297890

**SEC#** 8-70192

### **Main Office Location**

227 WEST TRADE STREET  
SUITE 1610  
CHARLOTTE, NC 28202

**Regulated by FINRA Atlanta Office**

### **Mailing Address**

227 WEST TRADE STREET  
SUITE 1610  
CHARLOTTE, NC 28202

### **Business Telephone Number**

833-877-7984



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	AMBASSADOR CAPITAL, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	01/2024
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CAPITAL CALL, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	07/2018
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	COOPER FAMILY ENTERPRISES, LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	07/2018
<b>Percentage of Ownership</b>	10% but less than 25%

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** ERICKA A. CAIN OR SUCCESSOR, AS TRUSTEE OF THE REVOCABLE TRUST OF ERICKA A. CAIN U/A/D JUNE 23, 2010

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** DIRECT OWNER

**Position Start Date** 01/2025

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** LEE, JOSEPH CHARLES JR  
2783885

**Is this a domestic or foreign entity or an individual?** Individual

**Position** DIRECT OWNER

**Position Start Date** 01/2025

**Percentage of Ownership** 10% but less than 25%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** LIFE INNOVATIONS, LLC

**Is this a domestic or foreign entity or an individual?** Domestic Entity

## Firm Profile



### Direct Owners and Executive Officers (continued)

<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	07/2018
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	WILLIAM H. CAIN, OR SUCCESSOR, AS TRUSTEE OF THE REVOCABLE TRUST OF WILLIAN H. CAIN U/A/D JUNE 23, 2010
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<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
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<b>Position</b>	DIRECT OWNER
<b>Position Start Date</b>	01/2025
<b>Percentage of Ownership</b>	10% but less than 25%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CAIN, ERICKA ADAMS MS.
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<b>Is this a domestic or foreign entity or an individual?</b>	Individual
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<b>Position</b>	TRUSTEE
<b>Position Start Date</b>	01/2025
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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## Firm Profile

### Direct Owners and Executive Officers (continued)

**Legal Name & CRD# (if any):** CAIN, WILLIAM HENRY

**Is this a domestic or foreign entity or an individual?** Individual

**Position** TRUSTEE

**Position Start Date** 01/2025

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** ENTERLINE CAPITAL, LLC

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** DIRECT OWNER

**Position Start Date** 07/2018

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** HAYES, SUSAN ANN  
2856326

**Is this a domestic or foreign entity or an individual?** Individual

**Position** FINOP / PFO / POO

**Position Start Date** 07/2018

**Percentage of Ownership** Less than 5%



## Firm Profile



### Direct Owners and Executive Officers (continued)

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** POWELL, JOSEPH CARL  
4798071

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRESIDENT

**Position Start Date** 04/2019

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** STANTON, KIMBERLY MARIE  
6574919

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 07/2024

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

<b>Legal Name &amp; CRD# (if any):</b>	BRIAN K. WILLIAMS REVOCABLE TRUST
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Company through which indirect ownership is established</b>	LIFE INNOVATIONS, LLC
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	11/2012
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	MULLAN, MICHAEL EVANS
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	CAPITAL CALL, LLC
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	02/2018
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	POWELL, JOSEPH CARL 4798071
<b>Is this a domestic or foreign</b>	Individual

## Firm Profile



### Indirect Owners (continued)

entity or an individual?

**Company through which indirect ownership is established** AMBASSADOR CAPITAL, LLC

**Relationship to Direct Owner** SHAREHOLDER

**Relationship Established** 01/2024

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** WILLIAMS, BRIAN KENJI

**Is this a domestic or foreign entity or an individual?** Individual

**Company through which indirect ownership is established** BRIAN K. WILLIAMS REVOCABLE TRUST

**Relationship to Direct Owner** GRANTOR, TRUSTEE, SOLE BENEFICIARY

**Relationship Established** 11/2012

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** COOPER, JAMES RYAN

**Is this a domestic or foreign entity or an individual?** Individual

**Company through which indirect ownership is established** COOPER FAMILY ENTERPRISES, LLC

**Relationship to Direct Owner** SHAREHOLDER

## Firm Profile



### Indirect Owners (continued)

<b>Relationship Established</b>	02/2018
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
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<b>Legal Name &amp; CRD# (if any):</b>	JAMIE COOPER
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	COOPER FAMILY ENTERPRISES, LLC
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	02/2018
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No
<hr/>	
<b>Legal Name &amp; CRD# (if any):</b>	ROSS, JENNIFER RENEE UHULANE
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Company through which indirect ownership is established</b>	ENTERLINE CAPITAL, LLC
<b>Relationship to Direct Owner</b>	SHAREHOLDER
<b>Relationship Established</b>	04/2018
<b>Percentage of Ownership</b>	50% but less than 75%
<b>Does this owner direct the management or policies of the firm?</b>	Yes

## Firm Profile



### Indirect Owners (continued)

Is this a public reporting company? No

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Legal Name & CRD# (if any): ROSS, NICHOLAS GLENN  
2626836

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established ENTERLINE CAPITAL, LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 04/2018

Percentage of Ownership 50% but less than 75%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





## Firm Operations

### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	02/06/2019

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	02/06/2019



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/03/2019
Alaska	Approved	05/29/2019
Arizona	Approved	05/20/2019
Arkansas	Approved	07/15/2019
California	Approved	05/28/2019
Colorado	Approved	05/31/2019
Connecticut	Approved	07/10/2019
Delaware	Approved	05/22/2019
District of Columbia	Approved	05/21/2019
Florida	Approved	11/08/2019
Georgia	Approved	06/26/2019
Hawaii	Approved	06/05/2019
Idaho	Approved	05/02/2019
Illinois	Approved	06/24/2019
Indiana	Approved	07/18/2019
Iowa	Approved	05/03/2019
Kansas	Approved	07/05/2019
Kentucky	Approved	05/14/2019
Louisiana	Approved	05/06/2019
Maine	Approved	06/21/2019
Maryland	Approved	05/28/2019
Massachusetts	Approved	08/20/2019
Michigan	Approved	05/17/2019
Minnesota	Approved	06/20/2019
Mississippi	Approved	05/02/2019
Missouri	Approved	06/04/2019
Montana	Approved	05/10/2019
Nebraska	Approved	08/20/2019
Nevada	Approved	05/15/2019
New Hampshire	Approved	07/10/2019
New Jersey	Approved	08/14/2019
New Mexico	Approved	07/10/2019
New York	Approved	05/06/2019

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	02/21/2019
North Dakota	Approved	05/30/2019
Ohio	Approved	05/30/2019
Oklahoma	Approved	05/07/2019
Oregon	Approved	05/28/2019
Pennsylvania	Approved	06/04/2019
Puerto Rico	Approved	08/19/2019
Rhode Island	Approved	05/02/2019
South Carolina	Approved	05/21/2019
South Dakota	Approved	05/17/2019
Tennessee	Approved	06/14/2019
Texas	Approved	06/26/2019
Utah	Approved	05/08/2019
Vermont	Approved	06/11/2019
Virgin Islands	Approved	08/23/2019
Virginia	Approved	05/09/2019
Washington	Approved	05/14/2019
West Virginia	Approved	07/02/2019
Wisconsin	Approved	05/10/2019
Wyoming	Approved	07/30/2019





## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 3 types of businesses.**

#### Types of Business

Broker or dealer selling corporate debt securities

Broker or dealer selling variable life insurance or annuities

Other - WHOLESALING OF ETF REGISTERED INVESTMENT COMPANY PRODUCTS. CERTAIN OF THE FIRM'S PERSONNEL CAN OFFER ETF PRODUCTS IN A WHOLESALING CAPACITY TO ITS REGISTERED INVESTMENT ADVISER AND BROKER/DEALER CUSTOMERS.

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## Firm Operations

### Industry Arrangements



**This firm does have books or records maintained by a third party.**

**Name:** KEEPITSAFE, INC.  
**Business Address:** 6922 HOLLYWOOD BLVD  
SUITE 500  
LOS ANGELES, CA 90028  
**Effective Date:** 10/08/2018  
**Description:** THE FIRM UTILIZES KEEPITSAFE TO PROVIDE WORM COMPLIANT ARCHIVING AND BACK UP OF ELECTRONIC DATA PURSUANT TO SEC RULE 17A-4.

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**Name:** SMARSH, INC.  
**Business Address:** 110 WILLIAM STREET  
#1804  
NEW YORK, NY 10038  
**Effective Date:** 07/12/2018  
**Description:** SMARSH, INC. ("SMARSH") WILL PROVIDE ELECTRONIC COMMUNICATIONS ARCHIVING SERVICES TO THE FIRM. IN THIS REGARD, SMARSH WILL STORE ALL MESSAGES SENT TO OR ORIGINATING FROM OUR EMAIL DOMAIN. SMARSH WILL ALSO STORE ANY INSTANT MESSAGES, CHAT MESSAGES, OR SMS MESSAGES FROM CORPORATE MOBILE DEVICES, AS APPLICABLE. SMARSH WILL IMPLEMENT ELECTRONIC STORAGE MEDIA TO STORE THESE BOOKS AND RECORDS AS REQUIRED BY SEC RULE 17A-4.

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**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

**ALPHASTAR CAPITAL MANAGEMENT, LLC is under common control with the firm.**

<b>CRD #:</b>	157423
<b>Business Address:</b>	19520 WEST CATAWBA AVENUE SUITE 112 CORNELIUS, NC 28031
<b>Effective Date:</b>	05/29/2019
<b>Foreign Entity:</b>	No
<b>Country:</b>	
<b>Securities Activities:</b>	Yes
<b>Investment Advisory Activities:</b>	Yes
<b>Description:</b>	ALPHASTAR CAPITAL MANAGEMENT, LLC AND BARNABAS CAPITAL, LLC ARE UNDER COMMON CONTROL AS BRIAN K. WILLIAMS IS A CONTROL PERSON FOR BOTH FIRMS.

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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