

BrokerCheck Report

WILLIAM JOHN ODENTHAL

CRD# 1345266

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8
Disclosure Events	9



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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**WILLIAM J. ODENTHAL**

CRD# 1345266

Currently employed by and registered with the following Firm(s):

- B COVA CAPITAL PARTNERS LLC**
 6851 JERICHO TPKE
 SUITE 205
 SYOSSET, NY 11791
 CRD# 109761
 Registered with this firm since: 10/13/2015

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B STREETCAPITAL, INC**
 CRD# 104034
 ROSWELL, GA
 07/2015 - 10/2015
- B CLANCY FINANCIAL SERVICES, INC.**
 CRD# 133379
 NEW YORK, NY
 10/2014 - 07/2015
- B SUMMER STREET RESEARCH PARTNERS**
 CRD# 127142
 KING OF PRUSSIA, PA
 06/2013 - 10/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **COVA CAPITAL PARTNERS LLC**

Main Office Address: **6851 JERICHO TPKE
SUITE 205
SYOSSET, NY 11791**

Firm CRD#: **109761**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/13/2015
B	FINRA	General Securities Representative	Approved	10/13/2015
B	FINRA	Investment Banking Representative	Approved	10/13/2015
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/20/2016
B	Connecticut	Agent	Approved	02/09/2016
B	District of Columbia	Agent	Approved	08/19/2024
B	Michigan	Agent	Approved	01/04/2024
B	New Jersey	Agent	Approved	03/21/2016
B	New York	Agent	Approved	03/14/2016
B	Ohio	Agent	Approved	12/07/2023
B	Pennsylvania	Agent	Approved	03/07/2016
B	Virginia	Agent	Approved	07/18/2024

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

COVA CAPITAL PARTNERS LLC
6851 JERICHO TPKE
SUITE 205
SYOSSET, NY 11791



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/16/1997

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/20/1985

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/18/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2015 - 10/2015	STREETCAPITAL, INC	104034	ROSWELL, GA
B 10/2014 - 07/2015	CLANCY FINANCIAL SERVICES, INC.	133379	NEW YORK, NY
B 06/2013 - 10/2014	SUMMER STREET RESEARCH PARTNERS	127142	KING OF PRUSSIA, PA
B 06/2013 - 06/2013	THE BENCHMARK COMPANY, LLC	22982	NEW YORK, NY
B 03/2007 - 06/2013	THE BENCHMARK COMPANY, LLC	22982	KING OF PRUSSIA, PA
B 03/2006 - 03/2007	WHITAKER SECURITIES LLC	121465	NEW YORK, NY
B 02/2005 - 05/2006	GRANITE ASSOCIATES, INC	46682	DELRAY BEACH, FL
B 07/2003 - 02/2005	WHITAKER SECURITIES LLC	121465	NEW YORK, NY
B 11/2002 - 06/2003	D. WECKSTEIN & CO., INC.	20338	NEW YORK, NY
B 07/2001 - 09/2002	WEATHERLY SECURITIES CORPORATION	11081	NEW YORK, NY
B 03/2001 - 08/2001	STARR SECURITIES, INC.	13336	NEW YORK, NY
B 11/2000 - 02/2001	EURO BROKERS, A DIVISION OF MAXCOR FINANCIAL INC.	19801	NEW YORK, NY
B 01/1995 - 09/2000	WEATHERLY SECURITIES CORPORATION	11081	NEW YORK, NY
B 08/1989 - 01/1995	OPPENHEIMER & CO., INC.	630	NEW YORK, NY
B 03/1988 - 08/1989	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
B 02/1987 - 03/1988	MOSELEY SECURITIES CORPORATION	7908	
B 05/1985 - 06/1986	ROONEY, PACE INC.	6218	
B 04/1985 - 05/1985	D. H. BLAIR & CO., INC.	6833	

Employment History



Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2015 - Present	Cova Capital Partners LLC	Registered Representative	Y	Glen Head, NY, United States
06/2015 - 10/2015	STREETCAPITAL, INC	RR	Y	ROSWELL, GA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

ALERE FINANCIAL PARTNERS LLC

550 AMERICAN AVE, SUITE 302

KING OF PRUSSIA, PA 19406

FOUNDING PARTNER, DEVOTE APPROX 1 HOUR A DAY A MANAGEMENT/SUPPORT COMPANY. THIS IS SELF SUPPORTED BY MYSELF AND ADAM LEVY. THIS ENTITY MANAGES OUR EXPENSES AND IS THE TOOL USED BY THE TWO PARTNERS FOR PERSONAL INVESTMENTS.

Central Catholic High School

301 North Fourth st

Allentown PA 18102

Head Coach

Sport lacrosse

Start 10/1/2022

29 hours a week

Nonbusiness hours

Coaching and Training

Runway Healthcare LP;300 Apple Brook dr. Malvern, PA 19355 ; Position: partner; Start Date: Sept 1st 2020; Type of Business:Medical Accelerator (merchant bank); we are working with Jeff O Donnell and Sam Navarro in launching a medical device accelerator. This will seed, capitalize medical startup companies. If and when I Alere does any financing we will make ALL required full disclosures to any investors or i investments.

Toetal Solutions Inc. Position Treasurer board member Non Investment business Healthcare company 300 Applebrook Dr. Malvern Pa. New

Registration and Employment History



Other Business Activities, continued

company financed by Runway Healthcare LP.

Pace Surgical portfolio company of Runway- Position Treasure Compensation 150K for the combined 3 companies 12-15 hrs. per week.

Runway Healthcare LP II 300 Apple brook Drive Malvern PA GP 10-12 Hours perweek No salary 10% Carried Interest

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	4	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WEATHERLY SECURITIES
Allegations:	VIOLATED NASD RULE 2510(B), NASD RULE 408(A). JULY 30, 2002. MR. ODENTHAL NAMED AS CONTROL PERSON AND HAD ABSOLUTELY NO KNOWLEDGE OF THE ACCOUNT NOR ANY WRONG DOING COMMITTED BY THE BROKER
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$13,220.41

Customer Complaint Information

Date Complaint Received:	01/09/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/09/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET NO. 03-258 NY

Date Notice/Process Served: 04/17/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/2004

Monetary Compensation Amount: \$3,000.00

Individual Contribution Amount: \$1,500.00

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WEATHERLY SECURITIES CORPORATION

Allegations: CUSTOMER COMPLAINT RECEIVED CITING MR. ODENTHAL AS A "CONTROL PERSON" ONLY.

Product Type: Equity - OTC

Alleged Damages: \$1,232,000.00

Customer Complaint Information

Date Complaint Received: 09/07/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/07/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #01-04806



Date Notice/Process Served: 09/07/2001
Arbitration Pending? No
Disposition: Other
Disposition Date: 05/20/2003
Monetary Compensation Amount: \$187,500.00
Individual Contribution Amount: \$0.00
Broker Statement SETTLED BY MEDIATION. ODENTHAL DID NOT CONTRIBUTE NOR IS AWARE OF ANY MONETARY SETTLEMENT. THE ARBITRATION CLAIM AGAINST ODENTHAL WAS WITHDRAWN.

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CIBC OPPENHEIMER & CO. INC.
Allegations: [CUSTOMER] FILED A STATEMENT OF CLAIM ALLEGING THAT MR. ODENTHAL RECOMMENDED VARIOUS UNSUITABLE SECURITIES AND ENGAGED IN EXCESSIVE TRADING. [CUSTOMER] FURTHER ALLEGES THAT MR. ODENTHAL MADE CERTAIN MISREPRESENTATIONS TO HIM AND ENGAGED IN UNAUTHORIZED TRADING. THE ALLEGED DAMAGES ARE \$275,000.

Product Type:

Alleged Damages: \$275,000.00

Customer Complaint Information

Date Complaint Received: 07/06/1993
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/04/1999

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1997-006829

Date Notice/Process Served: 11/20/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/04/1999

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$7,500.00

Firm Statement THE [CUSTOMER] MATTER WAS SETTLED FOR \$17,500. AND ODENTHAL WILL CONTRIBUTE \$7,500 TOWARDS THE SETTLEMENT. NOT PROVIDED

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CIBC OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADING AND BAD RECOMMENDATIONS RESULTING IN APPROXIMATE DAMAGES OF \$275,000

Product Type:

Alleged Damages: \$275,000.00

Customer Complaint Information

Date Complaint Received: 07/06/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/04/1999

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE; 1997-006829
Date Notice/Process Served:	11/20/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/04/1999
Monetary Compensation Amount:	\$17,500.00
Individual Contribution Amount:	\$7,500.00
Broker Statement	THIS CLAIM WAS DISMISSED AND SETTLED FOR \$17,500. MR. ODENTHAL WILL CONTRIBUTE \$7,500 TOWARDS THE SETTLEMENT. NOT PROVIDED

Disclosure 4 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER
Allegations:	CLIENT ALLEGED UNSUITABILITY, FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION AND BREACH OF CONTRACT WITH RECORD TO BDEV STOCK. ALLEGED DAMAGES WERE APPROXIMATELY \$750,000
Product Type:	
Alleged Damages:	\$750,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	

**Settlement Amount:****Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-02098**Date Notice/Process Served:** 07/01/1992**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 10/16/1992**Monetary Compensation
Amount:** \$270,000.00**Individual Contribution
Amount:****Broker Statement**OPPENHEIMER SETTLED THIS MATTER WITH A PAYMENT
TO THE CLIENT IN THE AMOUNT OF \$270,000. I HAVE AGREED TO PAY
A PORTION OF THIS SETTLEMENT.
NOT PROVIDED

End of Report



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