BrokerCheck Report

DAVID WILLIAM NOBLE

CRD# 1469650

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.

DAVID W. NOBLE

CRD# 1469650

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

B **SPARTAN CAPITAL SECURITIES, LLC**
45 BROADWAY
19TH FLOOR
NEW YORK, NY 10006
CRD# 146251
Registered with this firm since: 01/12/2018

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:

- 2 Self-Regulatory Organizations
- 4 U.S. states and territories

This broker has passed:

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

Registration History

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

B **CELADON FINANCIAL GROUP LLC**
CRD# 36538
MORRISTOWN, NJ
06/2016 - 12/2016

B **BUCKMAN, BUCKMAN & REID, INC.**
CRD# 23407
LITTLE SILVER, NJ
04/2014 - 06/2016

B **RODMAN & RENSHAW, LLC**
CRD# 16415
NEW YORK, NY
05/2011 - 07/2012

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
Regulatory Event	1

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 2 SROs and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SPARTAN CAPITAL SECURITIES, LLC**

Main Office Address: **45 BROADWAY**
19TH FLOOR
NEW YORK, NY 10006

Firm CRD#: **146251**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/12/2018
B	FINRA	Securities Trader	Approved	02/06/2018
B	FINRA	Operations Professional	Approved	02/26/2018
B	FINRA	General Securities Principal	Approved	04/05/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	11/22/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	11/22/2024
B	Nasdaq Stock Market	Securities Trader	Approved	11/22/2024

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	03/25/2024
B	Massachusetts	Agent	Approved	03/20/2024
B	New Jersey	Agent	Approved	01/18/2018
B	New York	Agent	Approved	04/10/2018

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

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

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	04/05/2018

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	08/12/1999
B	General Securities Representative Examination	Series 7	10/21/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/13/1992

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	06/2016 - 12/2016	CELADON FINANCIAL GROUP LLC	36538	MORRISTOWN, NJ
B	04/2014 - 06/2016	BUCKMAN, BUCKMAN & REID, INC.	23407	LITTLE SILVER, NJ
B	05/2011 - 07/2012	RODMAN & RENSHAW, LLC	16415	NEW YORK, NY
B	05/2010 - 05/2011	HUDSON SECURITIES,INC.	10467	JERSEY CITY, NJ
B	08/2008 - 05/2010	DOMESTIC SECURITIES, INC.	34721	MONTVALE, NJ
B	05/2003 - 05/2010	RUSHMORE CAPITAL, INC.	5940	EDISON, NJ
B	05/2003 - 05/2008	DOMESTIC SECURITIES, INC.	34721	EDISON, NJ
B	03/2002 - 05/2003	CROWN FINANCIAL GROUP, INC.	540	JERSEY CITY, NJ
B	09/2001 - 11/2001	S. B. CANTOR & CO., INC.	1384	NEW YORK, NY
B	04/1999 - 09/2001	M. H. MEYERSON & CO., INC.	540	JERSEY CITY, NJ
B	10/1993 - 02/1999	FAIRCHILD FINANCIAL GROUP, INC.	21404	NEW YORK, NY
B	01/1993 - 10/1993	STRATEGIC RESOURCE MANAGEMENT, INC.	28974	AURORA, CO
B	10/1992 - 01/1993	SCHNEIDER SECURITIES, INC.	16434	DENVER, CO
B	04/1986 - 05/1986	FIRST AFFILIATED SECURITIES, INC.	6871	

Employment History

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
01/2018 - Present	Spartan Capital Securities, LLC	Trader	Y	New York, NY, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2016 - 12/2017	Celadon financial Group LLc	trader	Y	Chatham, NJ, United States
04/2014 - 05/2016	buckman, buckman & reis inc	trader	N	shrewsbury, NJ, 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.

No information reported.

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
Regulatory Event	0	1	0

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/12/1998
Docket/Case Number:	CAF980004
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/12/1998
Sanctions Ordered:	Censure Monetary/Fine $10,000.00

	Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON OCTOBER 12, 1998, THE DEPARTMENT OF ENFORCEMENT NOTIFIED RESPONDENT DAVID W. NOBLE THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. CAF980004 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED $10,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS - (NASD RULES 2110, 2120, AND 3110, AND SEC RULES 10b-5 AND 17a-3 - RESPONDENT NOBLE AIDED AND ABETTED HIS EMPLOYER MEMBER AND ITS PRESIDENT IN AN UNLAWFUL UNREGISTERED DISTRIBUTION OF COMMON STOCK BY EXECUTING "WASH" AND "MATCHED" TRADES WITH TWO OTHER BROKER-DEALERS, WHICH TRANSACTIONS ARTIFICIALLY INFLATED THE REPORTED TRADING VOLUME IN THE STOCK, AND AIDED AND ABETTED HIS EMPLOYER MEMBER AND ITS PRESIDENT IN VIOLATING A PROVISION IN THE FIRM'S RESTRICTION AGREEMENT THAT PROHIBITED PRINCIPAL RETAIL TRADING; AND, FAILED TO REFLECT THE CIRCULAR NATURE OF THE TRADES IN HIS FIRM'S BOOKS AND RECORDS, THEREBY CAUSING THEM TO BE INACCURATE AND INCOMPLETE). THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON DECEMBER 21, 1998, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JANUARY 12, 1999. 04-13-99, $10,000 PAID 11/13/98, INVOICE #98-AF-820

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/12/1998
Docket/Case Number:	CAF980004

Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/12/1998
Sanctions Ordered:	Censure Monetary/Fine $10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/12/1998
Docket/Case Number:	CAF980004
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	ALLEGATIONS WERE SET FORTH AGAINST APPLICANT AS TO PURPORTED CONDUCT INVOLVING THE PARTICIPATION OF AN UNREGISTERED DISTRIBUTOR OF STOCKS AND PARTICIPATION IN WASH AND MATCHED TRADES AND VIOLATION OF THE FIRM'S RESTRICTION

	AGREEMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/12/1998
Sanctions Ordered:	Censure Monetary/Fine $10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	A WAIVER AND CONSENT WAS ACCEPTED AND APPLICANT WAS CEBSURE; FINED 10,000 AND SUSPENDED FOR 15 DAYS EFFECTIVE OPENING OF BUSINESS ON DECEMBER 21, 1998 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JANUARY 12, 1999.
Broker Statement	Not Provided

End of Report

This page is intentionally left blank.