BrokerCheck Report

GEORGE CHRISTOPHER TSIORVAS

CRD# 2562365

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.
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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.

GEORGE C. TSIORVAS

CRD# 2562365

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

B **SPARTAN CAPITAL SECURITIES, LLC**
595 STEWART AVENUE, 8TH FLOOR
GARDEN CITY, NY 11530
CRD# 146251
Registered with this firm since: 11/18/2015

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:

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

This broker has passed:

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

Registration History

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

B **ROCKWELL GLOBAL CAPITAL LLC**
CRD# 142485
MELVILLE, NY
06/2007 - 11/2015

B **R.M. STARK & CO., INC.**
CRD# 7612
LAKE WORTH BEACH, FL
08/2000 - 06/2007

B **CARNEGIE INVESTOR SERVICES INC.**
CRD# 8295
NEW YORK, NY
09/1999 - 07/2000

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
Criminal	1
Customer Dispute	4
Judgment/Lien	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 13 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 Principal	Approved	11/18/2015
B	FINRA	General Securities Representative	Approved	11/18/2015
B	Nasdaq Stock Market	General Securities Principal	Approved	11/22/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	11/22/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/18/2015
B	California	Agent	Approved	11/18/2015
B	Colorado	Agent	Approved	11/18/2015
B	Connecticut	Agent	Approved	11/19/2015
B	Florida	Agent	Approved	11/18/2015
B	Michigan	Agent	Approved	11/18/2015
B	Missouri	Agent	Approved	11/18/2015
B	New Jersey	Agent	Approved	11/18/2015
B	New York	Agent	Approved	11/18/2015

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	11/18/2015
B	South Carolina	Agent	Approved	03/14/2019
B	Texas	Agent	Approved	12/01/2015
B	West Virginia	Agent	Approved	11/18/2015

Branch Office Locations

SPARTAN CAPITAL SECURITIES, LLC
595 STEWART AVENUE, 8TH FLOOR
GARDEN CITY, NY 11530

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	06/03/2015

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	10/26/1995

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/17/1995

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	06/2007 - 11/2015	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY
B	08/2000 - 06/2007	R.M. STARK & CO., INC.	7612	LAKE WORTH BEACH, FL
B	09/1999 - 07/2000	CARNEGIE INVESTOR SERVICES INC.	8295	NEW YORK, NY
B	10/1996 - 09/1999	ROYCE INVESTMENT GROUP, INC.	10494	WOODBURY, NY
B	10/1995 - 11/1996	KENSINGTON WELLS INCORPORATED	30570	

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
11/2015 - Present	Spartan Capital Securities, LLC.	Registered Representative	Y	Garden City, NY, United States
07/2007 - 11/2015	ROCKWELL GLOBAL CAPITAL LLC	REGISTERED REPRESENTATIVE	Y	MELVILLE, NY, 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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o

4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Criminal	0	1	0
Customer Dispute	0	4	N/A
Judgment/Lien	1	N/A	N/A

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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	SUFFOLK COUNTY POLICE 3516/95
Charge Date:	02/18/1995
Charge Details:	NY STATE PENAL LAW 120.05 ASSAULT IN 2ND DEGREE
Felony?	Yes
Current Status:	Final
Status Date:	08/21/1995
Disposition Details:	PLEAD TO 240.20 OF NY STATE PENAL LAW DISORDERLY CONDUCT, A VIOLATION
Broker Statement	Not Provided

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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	R.M. STARK & CO., INC.
Allegations:	CUSTOMER CLAIMS BROKER DIDN'T FOLLOW INSTRUCTIONS
Product Type:	Equity - OTC
Alleged Damages:	$7,500.00

Customer Complaint Information

Date Complaint Received:	03/13/2002
Complaint Pending?	No
Status:	Settled
Status Date:	02/21/2002
Settlement Amount:	$1,552.50
Individual Contribution Amount:	$1,552.50

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	
Allegations:	DAMAGES IN THE AMOUNT OF $6,700
Product Type:	
Alleged Damages:	$6,700.00

Customer Complaint Information

Date Complaint Received:	06/10/1998
Complaint Pending?	No

Status:	Settled
Status Date:	
Settlement Amount:	$4,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR $4,000 ALTHOUGH I CATEGORICALLY DENY ALL ALLEGATIONS, TO AVOID FURTHER COSTS ASSOCIATED WITH DEFENDING THIS MATTER, I AGREED TO SETTLE.

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	KENSINGTON WELLS INCORPORATED
Allegations:	MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$66,035.32

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #97-03316
Date Notice/Process Served:	07/10/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/04/1999
Disposition Detail:	CLAIMANT ENTERED INTO A SETTLEMENT AGREEMENT WITH RESPONDENT TSIORVAS PRIOR TO THE HEARING.

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	KENSINGTON WELLS INCORPORATED
Allegations:	MISREPRESENTATION AND ACCOUNT RELATED NEGLIGENCE DAMAGES OF 66,035.32 PUNITIVE DAMAGES OF 250,000
Product Type:	Other
Other Product Type(s):	XYBR
Alleged Damages:	$66,035.32

Customer Complaint Information

Date Complaint Received:	07/10/1997
Complaint Pending?	No
Status:	Settled
Status Date:	11/04/1999
Settlement Amount:	$4,999.99
Individual Contribution Amount:	$4,999.99

Arbitration Information

Disposition:	Settled
Disposition Date:	

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROCKWELL GLOBAL CAPITAL LLC
Allegations:	UNAUTHORIZED TRADING
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	OTC
Alleged Damages:	$13,000.00

Customer Complaint Information

Date Complaint Received:	12/13/2007
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/24/2007
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	[CUSTOMER] EXPRESSLY AUTHORIZED ANY AND ALL TRADES IN ACCOUNT.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$46,318.01
Judgment/Lien Type:	Tax
Date Filed with Court:	01/14/2015
Date Individual Learned:	09/14/2015
Type of Court:	Federal Court
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	BETHPAGE, NY
Docket/Case #:	FT154092
Judgment/Lien Outstanding?	Yes
Broker Statement	Rep was notified once the Firm recieved a Notice of Levy on 9.14.15. The mailing address that the IRS had on file is an old address. The Rep. hasn't lived there since mid-2006. In fact the address that the IRS has mailed or served paperwork to is no longer a residence. It is in fact a hospital parking lot. The Firm updated the Rep's U-4 promptly upon receiving the IRS notice of Levy.

End of Report

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