

## BrokerCheck Report

**William Andrew Baris**

CRD# 6178840

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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).



## William A. Baris

CRD# 6178840

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

**IA SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC**

Manorville, NY

CRD# 154632

Registered with this firm since: 06/30/2025

**B SPARTAN CAPITAL SECURITIES, LLC**

595 STEWART AVENUE, 8TH FLOOR

GARDEN CITY, NY 11530

CRD# 146251

Registered with this firm since: 06/27/2025

## 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
- 17 U.S. states and territories

#### This broker has passed:

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

### Registration History

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

**B PHX FINANCIAL, INC.**

CRD# 144403

Hauppauge, NY

03/2025 - 05/2025

**B COVA CAPITAL PARTNERS LLC**

CRD# 109761

SYOSSET, NY

03/2022 - 03/2025

**B NETWORK 1 FINANCIAL SECURITIES INC.**

CRD# 13577

SYOSSET, NY

05/2020 - 06/2020

### 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
Judgment/Lien	2



## 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 17 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC**

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

Firm CRD#: **154632**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	06/30/2025

### Branch Office Locations

45 BROADWAY  
19TH FLOOR  
NEW YORK, NY 10006

Manorville, NY

### Employment 2 of 2

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	06/27/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	06/27/2025

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	07/07/2025
<b>B</b> California	Agent	Approved	06/27/2025
<b>B</b> Connecticut	Agent	Approved	06/30/2025
<b>B</b> Georgia	Agent	Approved	06/30/2025
<b>B</b> Idaho	Agent	Approved	06/30/2025
<b>B</b> Illinois	Agent	Approved	07/08/2025
<b>B</b> Indiana	Agent	Approved	07/02/2025
<b>B</b> Kansas	Agent	Approved	06/30/2025
<b>B</b> Louisiana	Agent	Approved	06/30/2025
<b>B</b> Minnesota	Agent	Approved	07/02/2025
<b>B</b> New Jersey	Agent	Approved	06/30/2025
<b>B</b> New York	Agent	Approved	06/28/2025
<b>B</b> North Carolina	Agent	Approved	07/01/2025
<b>B</b> Ohio	Agent	Approved	07/02/2025
<b>B</b> Pennsylvania	Agent	Approved	06/30/2025
<b>B</b> South Carolina	Agent	Approved	06/30/2025
<b>B</b> Texas	Agent	Approved	06/27/2025

### Branch Office Locations

#### SPARTAN CAPITAL SECURITIES, LLC

## Broker Qualifications



### Employment 2 of 2, continued

595 STEWART AVENUE, 8TH FLOOR  
GARDEN CITY, NY 11530

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## 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	05/07/2013

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	02/25/2025
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/12/2013

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/](http://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>B</b> 03/2025 - 05/2025	PHX FINANCIAL, INC.	144403	Hauppauge, NY
<b>B</b> 03/2022 - 03/2025	COVA CAPITAL PARTNERS LLC	109761	SYOSSET, NY
<b>B</b> 05/2020 - 06/2020	NETWORK 1 FINANCIAL SECURITIES INC.	13577	SYOSSET, NY
<b>B</b> 06/2019 - 01/2020	JOSEPH STONE CAPITAL L.L.C.	159744	MINEOLA, NY
<b>B</b> 11/2018 - 07/2019	ALLIED MILLENNIAL PARTNERS, LLC	16569	NEW YORK, NY
<b>B</b> 03/2018 - 11/2018	ARIVE CAPITAL MARKETS	8060	Coram, NY
<b>B</b> 11/2015 - 04/2018	FIRST STANDARD FINANCIAL COMPANY LLC	168340	Garden City, NY
<b>B</b> 05/2013 - 10/2015	ROCKWELL GLOBAL CAPITAL LLC	142485	MELVILLE, NY

### 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
11/2020 - 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



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2015 - 03/2018	First Standard Financial Company	Registered Representative	Y	New York, NY, United States
03/2013 - 10/2015	ROCKWELL GLOBAL CAPITAL	TRAINEE	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.

1) savage business sales consulting corp, manorville, NY, owner, established for tax purpose, non investment related, 4 hours a month,

## 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.
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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.
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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
Judgment/Lien	2	N/A	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.

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	06/02/2020
<b>Docket/Case Number:</b>	19-00713
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	No Product
<b>Allegations:</b>	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.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	n/a
<b>Start Date:</b>	07/15/2020
<b>End Date:</b>	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.

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	07/15/2020
<b>Docket/Case Number:</b>	19-00713
<b>Employing firm when activity occurred which led to the regulatory action:</b>	None
<b>Product Type:</b>	No Product
<b>Allegations:</b>	The allegation was that his former employer was owed funds from a signing bonus.. The obligation has been rectified and paid in full.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	09/03/2020
<b>Sanctions Ordered:</b>	Other: Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	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 type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 2

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

### Disclosure 2 of 2

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

## End of Report



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