



## **William Randolph “O’Malley” Avant**

**109 Simmons Street  
Mount Pleasant, SC 29464  
[www.saoscapital.com](http://www.saoscapital.com)  
843.388.9925**

### **Brochure Supplement**

**April 15, 2019**

This brochure provides information about William Randolph “O’Malley” Avant that supplements the Saos Capital, LLC brochure. You should have received a copy of that brochure. Please contact Wayne Gamble if you did not receive Saos Capital, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about William Randolph “O’Malley” Avant, CRD #4517403, is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## ***Educational Background and Business Experience***

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### **William Randolph “O’Malley” Avant**

***Year of birth:*** 1972

***Formal education:***

- Charleston Southern University – MBA (2008)
- The Citadel, The Military College of South Carolina – BS, Business (1995)

***Designations:***

**Accredited Asset Management Specialist (SM) and AAMS® (2005)**

The College for Financial Planning grants the **AAMS®** designation to applicants who complete the self-study program requiring 100-120 hours of study and pass a closed-book, proctored exam.

Applicants must comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions.

Continued use of the AAMS® designation is subject to ongoing renewal requirements including completing 16 hours of continuing education every two years; reaffirming to commitment to the Standards of Professional Conduct; and, paying a biennial renewal fee.

***Business background:***

- Saos Capital – President, Investment Adviser Representative (2011 – Present)
- Kovack Securities, Inc. – Registered Representative (2014-2019)
- Resource Horizons Group, L.L.C. – Registered Representative (2011 – 2014)
- Charleston Southern University – Adjunct Professor, Micro and Macro Economics, Banking, Finance (2008 – Present)
- Linsco/Private Ledger Corp. – Registered Representative, Investment Adviser Representative (2005 – 2011)
- Edward Jones – Registered Representative (2002 – 2005)

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***Disciplinary Information***

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Mr. Avant has not been the subject of any legal or disciplinary event.

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***Other Business Activities***

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In addition to his association with Saos Capital, Mr. Avant is also a licensed insurance agent.

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***Additional Compensation***

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Certain sponsors of investment products that Mr. Avant may offer you may provide him with the opportunity to attend training or education conferences. This compensation is limited to reimbursement for travel, meals and lodging expenses incurred for attending the training or education conference. Further, if Mr. Avant presents the products or services during seminars or presentations, he may be reimbursed for advertising or marketing expenses associated with the seminar or presentation.

This additional compensation presents a conflict of interest because it may create an incentive to recommend products and services based upon compensation, rather than on your needs. Mr. Avant will explain the costs associated with any recommendations he makes. You have no obligation to do business with Mr. Avant in his capacity as an insurance agent.

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## ***Supervision***

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Mr. Avant is supervised by Wayne Gamble, Chief Compliance Officer of Saos Capital. Mr. Gamble may be reached at 843.388.9925.

We supervise Mr. Avant by requiring that he adhere to our processes and procedures as described in our firm's *Code of Ethics* and Compliance Procedures. We will monitor Mr. Avant's advisory activities on a periodic and on-going basis by reviewing areas including, but not limited to, the following:

- Account opening documentation;
- Account transactions;
- Custodial information to assess account activity;
- Evidence that your financial situation, objectives, and individual investment needs are reviewed no less than annually; and
- Client communications.