

BrokerCheck Report

DEMATTEO RESEARCH LLC

CRD# 43741

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 4
Firm History	5
Firm Operations	6 - 11
Disclosure Events	12



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.



DEMATTEO RESEARCH LLC

CRD# 43741

SEC# 8-50395

Main Office Location

70 EAST 55TH STREET, 10TH FLOOR
NEW YORK, NY 10022
Regulated by FINRA New York Office

Mailing Address

70 EAST 55TH STREET, 10TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-883-9900

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/14/1997.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 5 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 8 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?

Yes

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/14/1997.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

DEMATTEO RESEARCH LLC

Doing business as DEMATTEO RESEARCH LLC

CRD# 43741

SEC# 8-50395

Main Office Location

70 EAST 55TH STREET, 10TH FLOOR
NEW YORK, NY 10022

Regulated by FINRA New York Office

Mailing Address

70 EAST 55TH STREET, 10TH FLOOR
NEW YORK, NY 10022

Business Telephone Number

212-883-9900



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): DEMATTEO, JOSEPH PAUL

1061604

Is this a domestic or foreign entity or an individual? Individual

Position CEO / CCO

Position Start Date 07/1997

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KURASIEWICZ, ARTUR

3203735

Is this a domestic or foreign entity or an individual? Individual

Position INTRODUCING BROKER-DEALER FINANCIAL AND OPERATIONS PRINCIPAL

Position Start Date 03/2017

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 5 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/07/1998

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	01/07/1998

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	03/27/1998
Connecticut	Approved	08/01/2024
Florida	Approved	08/24/1998
Massachusetts	Approved	08/21/2024
New York	Approved	10/17/1997



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 8 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
U S. government securities broker
Put and call broker or dealer or option writer
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Broker or dealer selling tax shelters or limited partnerships in the secondary market
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	INTERACTIVE BROKERS LLC
CRD #:	36418
Business Address:	ONE PICKWICK PLAZA- 2ND FL GREENWICH, CT 06830
Effective Date:	05/20/2016
Description:	DEMATTEO RESEARCH, LLC IS A FULLY-DISCLOSED, INTRODUCING BROKER/DEALER, UTILIZING THE CLEARING SERVICES OF INTERACTIVE BROKERS LLC.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA- 2ND FL
GREENWICH, CT 06830
Effective Date: 05/20/2016
Description: DEMATTEO RESEARCH, LLC IS A FULLY-DISCLOSED, INTRODUCING
BROKER/DEALER, UTILIZING THE CLEARING SERVICES OF
INTERACTIVE BROKERS LLC.

This firm does have accounts, funds, or securities maintained by a third party.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA- 2ND FL
GREENWICH, CT 06830
Effective Date: 05/20/2016
Description: DEMATTEO RESEARCH, LLC IS A FULLY-DISCLOSED, INTRODUCING
BROKER/DEALER, UTILIZING THE CLEARING SERVICES OF
INTERACTIVE BROKERS LLC.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: INTERACTIVE BROKERS LLC
CRD #: 36418
Business Address: ONE PICKWICK PLAZA- 2ND FL
GREENWICH, CT 06830
Effective Date: 05/20/2016
Description: DEMATTEO RESEARCH, LLC IS A FULLY-DISCLOSED, INTRODUCING
BROKER/DEALER, UTILIZING THE CLEARING SERVICES OF
INTERACTIVE BROKERS LLC.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

CLIMBING ROSE CAPITAL LLC is under common control with the firm.

CRD #:	290028
Business Address:	105 CORPORATE PARK DRIVE G024 WEST HARRISON, NY 10577
Effective Date:	07/22/2019
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	APPLICANT AND CLIMBING ROSE CAPITAL LLC ARE BOTH CONTROLLED BY JOSEPH DEMATTEO WHO OWNS A MATERIAL INTEREST IN EACH ENTITY.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source: Firm

Current Status: Final



Allegations:	THE FIRM FAILED TO REGISTER SEVEN EMPLOYEES, FOUR OF WHOM WERE PRINCIPALS OF THE FIRM, WITH NYSE ARCA EQUITIES, INC. IN ACCORDANCE WITH EXCHANGE RULES REQUIREMENTS. THE VIOLATIVE CONDUCT TOOK PLACE FROM THE TIME THE FIRM FIRST BECAME A MEMBER OF THE NYSE ARCA EQUITIES, INC. ON OCTOBER 14, 2005 TO NOVEMBER 2016. BY FAILING TO REGISTER SEVEN OF ITS EMPLOYEES, FOUR OF WHOM WERE FIRM PRINCIPALS, THE FIRM FAILED TO ADEQUATELY SUPERVISE ITS ASSOCIATED PERSONS TO ASSURE COMPLIANCE WITH THE FEDERAL SECURITIES LAWS, THE CONSTITUTION AND/OR THE RULES OF THE NYSE ARCA EQUITIES, INC.
Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY
Date Initiated:	05/10/2017
Docket/Case Number:	20170534703
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	05/17/2017
Sanctions Ordered:	Monetary/Fine \$4,500.00
Other Sanctions Ordered:	
Sanction Details:	FINE IN THE AMOUNT OF \$4500.
Firm Statement	THE FIRM CONSENTED TO THE IMPOSITION OF THE FINE AND PAID ON MAY 17, 2017.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	FIRM FAILED TO PROVIDE A FORM AND LATE FEE AS PART OF ANNUAL REGISTRATION RENEWAL PROCESS.
Initiated By:	STATE OF ILLINOIS, ILLINOIS SECURITIES DEPARTMENT
Date Initiated:	02/06/2017



Docket/Case Number: 1700064
URL for Regulatory Action:
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Other
Other Sanction(s)/Relief Sought: NOTICE OF HEARING
Resolution: Stipulation and Consent
Resolution Date: 02/17/2017
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Sanctions Ordered: Monetary/Fine \$150.00
Other Sanctions Ordered:
Sanction Details: CONSENT ORDER
Regulator Statement NOTICE OF HEARING WAS ISSUED FEBRUARY 6, 2017. CONSENT ORDER WAS ISSUED FEBRUARY 17, 2017. CONTACT 524-0648

Reporting Source: Firm
Current Status: Final
Allegations: APPLICANT WAS LATE IN FILING A "DESIGNATED PRINCIPAL(S) FORM" WITH THE ILLINOIS SECRETARY OF STATE.
Initiated By: STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT
Date Initiated: 02/06/2017
Docket/Case Number: 1700064
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)


Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent

Resolution Date: 02/17/2017

Sanctions Ordered: Censure
Monetary/Fine \$150.00

Other Sanctions Ordered:

Sanction Details: THE DISPOSITION RESULTED IN A FINE OF \$150 LEVIED AGAINST APPLICANT. THE FINE WAS FULLY PAID BY APPLICANT ON 2/10/2017.

Firm Statement APPLICANT EXECUTED A STIPULATION TO ENTRY OF CONSENT ORDER ON 2/10/2017. STATE OF ILLINOIS SECRETARY OF STATE EXECUTED CONSENT ORDER ON 2/17/2017.

Disclosure 3 of 3

Reporting Source: Regulator

Current Status: Final

Allegations: SEC RULE 15C3-1 AND NASD RULE 2110: RESPONDENT MEMBER FIRM FAILED TO MAINTAIN THE REQUIRED MINIMUM NET CAPITAL WHILE CONDUCTING A SECURITIES BUSINESS.

Initiated By: FINRA

Date Initiated: 10/02/2008

Docket/Case Number: 2007008311901

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/02/2008



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS; RESPONDENT MEMBER FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS FINED \$5,000.

Reporting Source: Firm

Current Status: Final

Allegations: SEC RULE 15C3-1 AND NASD RULE 2110: RESPONDENT MEMBER FIRM FAILED TO MAINTAIN THE REQUIRED MINIMUM NET CAPITAL WHILE CONDUCTING A SECURITIES BUSINESS.

Initiated By: FINRA

Date Initiated: 10/02/2008

Docket/Case Number: 2007008311901

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: FINE - \$5,000

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/02/2008

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered: FINE - \$5,000

Sanction Details: FINE - \$5,000

Firm Statement DEMATTEO MONNESS LLC (DM) SUBMITTED A STATEMENT OF MITIGATING CIRCUMSTANCES TO FINRA ALONG WITH DM'S ACCEPTANCE, WAIVER AND CONSENT. SINCE DM'S STATEMENT OF MITIGATING CIRCUMSTANCES IS



TOO LENGTHY TO INSERT HERE DUE TO SPACE CONSTRAINTS, PLEASE
REQUEST A COPY OF THE STATEMENT OF MITIGATING CIRCUMSTANCES
FROM DM FOR FURTHER BACKGROUND ON THIS FINRA ACTION.

End of Report



This page is intentionally left blank.