

BrokerCheck Report

THOMAS W. MATCHETT

CRD# 2259888

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 7
Registration and Employment History	8

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:

- o 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
- o 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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

THOMAS W. MATCHETT

CRD# 2259888

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

TWO SIGMA SECURITIES, LLC
 101 AVENUE OF THE AMERICAS
 19TH FLOOR
 NEW YORK, NY 10013
 CRD# 148960
 Registered with this firm since: 10/10/2016

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:**

- 20 Self-Regulatory Organizations
- 3 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****UBS SECURITIES LLC**

CRD# 7654
 NEW YORK, NY
 02/2006 - 02/2016

UBS CAPITAL MARKETS L.P.

CRD# 2692
 STAMFORD, CT
 08/2002 - 02/2006

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? **No**



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 20 SROs and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **TWO SIGMA SECURITIES, LLC**
 Main Office Address: **101 AVENUE OF THE AMERICAS
 19TH FLOOR
 NEW YORK, NY 10013**
 Firm CRD#: **148960**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	10/10/2016
FINRA	General Securities Representative	APPROVED	10/10/2016
FINRA	Registered Options Principal	APPROVED	11/29/2016
FINRA	Securities Trader	APPROVED	10/10/2016
FINRA	Securities Trader Principal	APPROVED	03/08/2018
BOX Exchange LLC	General Securities Principal	APPROVED	03/08/2018
BOX Exchange LLC	General Securities Representative	APPROVED	03/08/2018
BOX Exchange LLC	Registered Options Principal	APPROVED	03/08/2018
BOX Exchange LLC	Securities Trader	APPROVED	03/08/2018
BOX Exchange LLC	Securities Trader Principal	APPROVED	03/08/2018
Cboe BYX Exchange, Inc.	General Securities Principal	APPROVED	10/10/2016
Cboe BYX Exchange, Inc.	General Securities Representative	APPROVED	10/10/2016
Cboe BYX Exchange, Inc.	Securities Trader	APPROVED	10/10/2016
Cboe BYX Exchange, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Cboe BZX Exchange, Inc.	General Securities Principal	APPROVED	10/10/2016
Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	10/10/2016
Cboe BZX Exchange, Inc.	Registered Options Principal	APPROVED	11/29/2016



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
Cboe BZX Exchange, Inc.	Securities Trader	APPROVED	10/10/2016
Cboe BZX Exchange, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	07/18/2018
Cboe C2 Exchange, Inc.	Registered Options Principal	APPROVED	07/18/2018
Cboe C2 Exchange, Inc.	Securities Trader	APPROVED	07/18/2018
Cboe C2 Exchange, Inc.	Securities Trader Principal	APPROVED	07/18/2018
Cboe EDGA Exchange, Inc.	General Securities Principal	APPROVED	10/10/2016
Cboe EDGA Exchange, Inc.	General Securities Representative	APPROVED	10/10/2016
Cboe EDGA Exchange, Inc.	Securities Trader	APPROVED	10/10/2016
Cboe EDGA Exchange, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Cboe EDGX Exchange, Inc.	General Securities Principal	APPROVED	10/10/2016
Cboe EDGX Exchange, Inc.	General Securities Representative	APPROVED	10/10/2016
Cboe EDGX Exchange, Inc.	Registered Options Principal	APPROVED	11/29/2016
Cboe EDGX Exchange, Inc.	Securities Trader	APPROVED	10/10/2016
Cboe EDGX Exchange, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Cboe Exchange, Inc.	General Securities Representative	APPROVED	03/08/2018
Cboe Exchange, Inc.	Registered Options Principal	APPROVED	03/08/2018
Cboe Exchange, Inc.	Securities Trader	APPROVED	03/08/2018
Cboe Exchange, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Investors' Exchange LLC	General Securities Principal	APPROVED	10/10/2016
Investors' Exchange LLC	General Securities Representative	APPROVED	10/10/2016
Investors' Exchange LLC	Securities Trader	APPROVED	10/10/2016
Investors' Exchange LLC	Securities Trader Principal	APPROVED	03/08/2018
MIAX PEARL, LLC	General Securities Principal	APPROVED	03/08/2018
MIAX PEARL, LLC	General Securities Representative	APPROVED	03/08/2018
MIAX PEARL, LLC	Registered Options Principal	APPROVED	03/08/2018
MIAX PEARL, LLC	Securities Trader	APPROVED	03/08/2018



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
MIAX PEARL, LLC	Securities Trader Principal	APPROVED	03/08/2018
Miami International Securities Exchange, LLC	General Securities Principal	APPROVED	03/08/2018
Miami International Securities Exchange, LLC	General Securities Representative	APPROVED	03/08/2018
Miami International Securities Exchange, LLC	Registered Options Principal	APPROVED	03/08/2018
Miami International Securities Exchange, LLC	Securities Trader	APPROVED	03/08/2018
Miami International Securities Exchange, LLC	Securities Trader Principal	APPROVED	03/08/2018
NYSE American LLC	General Securities Principal	APPROVED	10/10/2016
NYSE American LLC	General Securities Representative	APPROVED	10/10/2016
NYSE American LLC	Registered Options Principal	APPROVED	11/29/2016
NYSE American LLC	Securities Trader	APPROVED	10/10/2016
NYSE American LLC	Securities Trader Principal	APPROVED	03/08/2018
NYSE Arca, Inc.	General Securities Principal	APPROVED	10/10/2016
NYSE Arca, Inc.	General Securities Representative	APPROVED	10/10/2016
NYSE Arca, Inc.	Registered Options Principal	APPROVED	11/29/2016
NYSE Arca, Inc.	Securities Trader	APPROVED	10/10/2016
NYSE Arca, Inc.	Securities Trader Principal	APPROVED	03/08/2018
NYSE National, Inc.	General Securities Principal	APPROVED	05/18/2018
NYSE National, Inc.	General Securities Representative	APPROVED	05/18/2018
NYSE National, Inc.	Securities Trader	APPROVED	05/18/2018
NYSE National, Inc.	Securities Trader Principal	APPROVED	05/18/2018
Nasdaq BX, Inc.	General Securities Principal	APPROVED	10/10/2016
Nasdaq BX, Inc.	General Securities Representative	APPROVED	10/10/2016
Nasdaq BX, Inc.	Registered Options Principal	APPROVED	11/29/2016
Nasdaq BX, Inc.	Securities Trader	APPROVED	10/10/2016



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
Nasdaq BX, Inc.	Securities Trader Principal	APPROVED	03/08/2018
Nasdaq GEMX, LLC	General Securities Principal	APPROVED	03/08/2018
Nasdaq GEMX, LLC	General Securities Representative	APPROVED	03/08/2018
Nasdaq GEMX, LLC	Registered Options Principal	APPROVED	03/08/2018
Nasdaq GEMX, LLC	Securities Trader	APPROVED	03/08/2018
Nasdaq GEMX, LLC	Securities Trader Principal	APPROVED	03/08/2018
Nasdaq ISE, LLC	General Securities Principal	APPROVED	03/08/2018
Nasdaq ISE, LLC	General Securities Representative	APPROVED	03/08/2018
Nasdaq ISE, LLC	Registered Options Principal	APPROVED	03/08/2018
Nasdaq ISE, LLC	Securities Trader	APPROVED	03/08/2018
Nasdaq ISE, LLC	Securities Trader Principal	APPROVED	03/08/2018
Nasdaq PHLX LLC	General Securities Principal	APPROVED	10/10/2016
Nasdaq PHLX LLC	General Securities Representative	APPROVED	10/10/2016
Nasdaq PHLX LLC	Registered Options Principal	APPROVED	11/29/2016
Nasdaq PHLX LLC	Securities Trader	APPROVED	10/10/2016
Nasdaq PHLX LLC	Securities Trader Principal	APPROVED	03/08/2018
Nasdaq Stock Market	General Securities Principal	APPROVED	10/10/2016
Nasdaq Stock Market	General Securities Representative	APPROVED	10/10/2016
Nasdaq Stock Market	Registered Options Principal	APPROVED	11/29/2016
Nasdaq Stock Market	Securities Trader	APPROVED	10/10/2016
Nasdaq Stock Market	Securities Trader Principal	APPROVED	03/08/2018
New York Stock Exchange	General Securities Principal	APPROVED	10/10/2016
New York Stock Exchange	General Securities Representative	APPROVED	10/10/2016
New York Stock Exchange	Securities Trader	APPROVED	10/10/2016
New York Stock Exchange	Securities Trader Principal	APPROVED	03/08/2018



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
Connecticut	Agent	APPROVED	06/13/2017
New York	Agent	APPROVED	10/10/2016
Pennsylvania	Agent	APPROVED	09/27/2017

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	11/29/2016
General Securities Principal Examination	Series 24	06/11/2007

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
Limited Representative-Equity Trader Exam	Series 55	03/02/2004
General Securities Representative Examination	Series 7	08/05/2002

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	07/08/2010

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2006 - 02/2016	UBS SECURITIES LLC	7654	NEW YORK, NY
08/2002 - 02/2006	UBS CAPITAL MARKETS L.P.	2692	STAMFORD, CT

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 Dates	Employer Name	Employer Location
09/2016 - Present	Two Sigma Securities	New York, NY
09/2015 - 09/2016	Unemployed	NEW YORK, NY
07/2013 - 08/2015	UBS SECURITIES LLC	NEW YORK, NY
07/2011 - 07/2013	UBS SECURIT. LLC - WILMINGTON	NEW YORK, NY
10/2007 - 07/2011	UBS SECURIT. LLC - WILMINGTON	STAMFORD, CT

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.

End of Report



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