BrokerCheck Report

William Leslie Thatcher

CRD# 2564782

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.
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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.

William L. Thatcher

CRD# 2564782

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

B **UNEST SECURITIES, LLC**
221 S. 2ND STREET
LARAMIE, WY 82070
CRD# 309955
Registered with this firm since: 01/29/2026

B **FIN2**
112 WEST 34TH ST.
18TH FLOOR
NEW YORK, NY 10120
CRD# 316863
Registered with this firm since: 10/16/2024

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:

- 1 Self-Regulatory Organization
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

B **AIRWALLEX CAPITAL (US) LLC**
CRD# 332388
SAN FRANCISCO, CA
10/2025 - 07/2026

B **DALMORE GROUP LLC**
CRD# 136352
Laguna Woods, CA
11/2024 - 04/2026

B **TECHSPEED CLEARING LLC**
CRD# 313766
ADDISON, TX
03/2022 - 06/2025

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 1 SRO and is licensed in 52 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name:	**FIN2**
Main Office Address:	**112 WEST 34TH ST. 18TH FLOOR NEW YORK, NY 10120**
Firm CRD#:	**316863**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/16/2024
B	FINRA	General Securities Representative	Approved	10/16/2024
B	FINRA	Operations Professional	Approved	10/16/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/04/2025
B	Alaska	Agent	Approved	06/04/2025
B	Arizona	Agent	Approved	06/04/2025
B	Arkansas	Agent	Approved	06/04/2025
B	California	Agent	Approved	10/16/2024
B	Colorado	Agent	Approved	06/04/2025
B	Connecticut	Agent	Approved	06/04/2025
B	Delaware	Agent	Approved	06/04/2025
B	District of Columbia	Agent	Approved	06/04/2025
B	Florida	Agent	Approved	06/04/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	06/04/2025
B	Hawaii	Agent	Approved	06/04/2025
B	Idaho	Agent	Approved	06/04/2025
B	Illinois	Agent	Approved	06/04/2025
B	Indiana	Agent	Approved	06/04/2025
B	Iowa	Agent	Approved	06/04/2025
B	Kansas	Agent	Approved	06/04/2025
B	Kentucky	Agent	Approved	06/04/2025
B	Louisiana	Agent	Approved	06/04/2025
B	Maine	Agent	Approved	06/04/2025
B	Maryland	Agent	Approved	06/04/2025
B	Massachusetts	Agent	Approved	06/04/2025
B	Michigan	Agent	Approved	06/04/2025
B	Minnesota	Agent	Approved	06/04/2025
B	Mississippi	Agent	Approved	06/04/2025
B	Missouri	Agent	Approved	05/22/2025
B	Montana	Agent	Approved	06/04/2025
B	Nebraska	Agent	Approved	06/04/2025
B	Nevada	Agent	Approved	06/04/2025
B	New Hampshire	Agent	Approved	06/04/2025
B	New Jersey	Agent	Approved	06/04/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	06/04/2025
B	New York	Agent	Approved	10/16/2024
B	North Carolina	Agent	Approved	06/04/2025
B	North Dakota	Agent	Approved	06/04/2025
B	Ohio	Agent	Approved	06/09/2025
B	Oklahoma	Agent	Approved	06/04/2025
B	Oregon	Agent	Approved	06/04/2025
B	Pennsylvania	Agent	Approved	06/04/2025
B	Puerto Rico	Agent	Approved	01/08/2026
B	Rhode Island	Agent	Approved	06/04/2025
B	South Carolina	Agent	Approved	06/04/2025
B	South Dakota	Agent	Approved	06/04/2025
B	Tennessee	Agent	Approved	06/04/2025
B	Texas	Agent	Approved	06/04/2025
B	Utah	Agent	Approved	06/04/2025
B	Vermont	Agent	Approved	05/12/2025
B	Virginia	Agent	Approved	06/04/2025
B	Washington	Agent	Approved	06/04/2025
B	West Virginia	Agent	Approved	06/04/2025
B	Wisconsin	Agent	Approved	06/04/2025
B	Wyoming	Agent	Approved	06/04/2025

Broker Qualifications

Employment 1 of 2, continued

Branch Office Locations

FIN2
112 WEST 34TH ST.
18TH FLOOR
NEW YORK, NY 10120

Employment 2 of 2

Firm Name: **UNEST SECURITIES, LLC**

Main Office Address: **221 S. 2ND STREET**
LARAMIE, WY 82070

Firm CRD#: **309955**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/29/2026
B	FINRA	General Securities Representative	Approved	01/29/2026
B	FINRA	Operations Professional	Approved	01/29/2026

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	03/16/2026

Branch Office Locations

UNEST SECURITIES, LLC
221 S. 2ND STREET
LARAMIE, WY 82070

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	02/05/2002

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	11/06/2023
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	02/23/2016
B	General Securities Representative Examination	Series 7	05/16/2001

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/02/2015

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2025 - 07/2026	AIRWALLEX CAPITAL (US) LLC	332388	SAN FRANCISCO, CA
B 11/2024 - 04/2026	DALMORE GROUP LLC	136352	Laguna Woods, CA
B 03/2022 - 06/2025	TECHSPEED CLEARING LLC	313766	ADDISON, TX
B 01/2025 - 05/2025	BOSONIC SECURITIES	317012	SPEARFISH, SD
B 12/2018 - 05/2021	VELOX CLEARING LLC	290215	Anaheim, CA
B 04/2014 - 10/2018	BTIG, LLC	122225	DALLAS, TX
B 04/2013 - 04/2014	EZE CASTLE TRANSACTION SERVICES LLC	132246	WALTHAM, MA
B 07/2011 - 04/2013	CONVERGEX EXECUTION SOLUTIONS LLC	35693	SAN FRANCISCO, CA
B 09/2009 - 07/2011	ELECTRONIC TRANSACTION CLEARING, INC.	146122	LOS ANGELES, CA
B 01/2004 - 03/2009	ARCHIPELAGO TRADING SERVICES, INC.	15853	CHICAGO, IL
B 08/2002 - 03/2009	ARCHIPELAGO SECURITIES L.L.C.	102500	CHICAGO, IL
B 08/2001 - 08/2002	WAVE SECURITIES, LLC	43705	CHICAGO, IL
B 04/1995 - 03/1996	MITCHUM, JONES & TEMPLETON, INC.	22208	SAN FRANCISCO, CA

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
01/2026 - Present	UNest Securities, LLC	RR	Y	LARAMIE, WY, United States
09/2024 - Present	FIN2, LLC	CEO, CCO	Y	New York, NY, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2024 - Present	Compliers Consulting Services	Consultant as an Independent contractor	Y	New York, NY, United States
06/2024 - Present	AirWallex Capital (US) LLC	COO	Y	San Francisco, CA, United States
02/2023 - Present	Village Management Services / Golden Rain Foundation Inc.	Emergency & security radio dispatcher	N	Laguna Woods, CA, United States
10/2024 - 01/2026	DALMORE GROUP LLC	Registered Representative	Y	Woodmere, NY, United States
04/2022 - 06/2025	TechSpeed Clearing LLC	COO	Y	Rancho Santa Margarita, CA, United States
05/2021 - 05/2024	DBDC LLC	Consultant	N	Laguna Woods, CA, United States
12/2018 - 04/2021	VELOX CLEARING, LLC	VICE PRESIDENT-RISK MANAGEMENT	Y	ANAHEIM, CA, United States
11/2018 - 12/2018	UNEMPLOYED	UNEMPLOYED	N	DALLAS, TX, United States
04/2014 - 10/2018	BTIG LLC	VICE PRESIDENT - TRADESAVE	Y	SAN FRANCISCO, CA, 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) Big Brown Dog LLC, not investment related, 11 Bushwood Circle, Ladera Ranch, CA 92694, nature of business: Business Consulting, Contractor, Started 2024-06-01, 0 hours per month.
2) Compliers Consulting Services, Yes Investment related, Business Consulting, 40 Wall St, New York, NY 10005, Nature of business; Business Consulting, Contractor / Consultant, Started 2024-08-01, 0 hours per month
3) Village Mgmt Services/Golden Rain Fdn, not investment related, Private Securities Emergency Dept, 24351 El Toro Rd, Laguna Woods, CA 92637, Security Patrol Officers, Dispatcher Started 2023-02-01, 96 hours per month, 50-70% during trading hours.

End of Report

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