

BrokerCheck Report

MATTHEW D EITNER

CRD# 3267261

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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.

MATTHEW D. EITNER

CRD# 3267261

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

- B LAIDLAW & COMPANY (UK) LTD.**
 521 5TH AVENUE
 12TH FLOOR
 NEW YORK, NY 10175
 CRD# 119037
 Registered with this firm since: 10/27/2010

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
- 5 U.S. states and territories

This broker has passed:

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

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

- B AEGIS CAPITAL CORP.**
 CRD# 15007
 NEW YORK, NY
 05/2008 - 11/2010
- B CASIMIR CAPITAL L.P.**
 CRD# 105061
 NEW YORK, NY
 02/2002 - 06/2008
- B KUHNS BROTHERS SECURITIES CORPORATION**
 CRD# 47331
 LIME ROCK, CT
 11/2002 - 03/2003

**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
Investigation	1
Customer Dispute	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 1 SRO and is licensed in 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LAIDLAW & COMPANY (UK) LTD.**

Main Office Address: **68 PALL MALL
LONDON, ENGLAND SW1Y 5ES**

Firm CRD#: **119037**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	10/27/2010
B FINRA	Investment Banking Representative	APPROVED	10/27/2010
B FINRA	General Securities Principal	APPROVED	04/05/2011
B FINRA	Operations Professional	APPROVED	12/16/2011
B FINRA	Securities Trader	APPROVED	01/04/2016
B FINRA	Securities Trader Principal	APPROVED	02/04/2016
B FINRA	Investment Banking Principal	APPROVED	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Kansas	Agent	APPROVED	10/24/2012
B New Jersey	Agent	APPROVED	11/01/2010
B New York	Agent	APPROVED	10/27/2010
B Oklahoma	Agent	APPROVED	11/15/2010
B Texas	Agent	APPROVED	11/01/2010

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

LIDLAW & COMPANY (UK) LTD.

521 5TH AVENUE
12TH FLOOR
NEW YORK, NY 10175



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	04/04/2011

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	05/30/2000
B General Securities Representative Examination	Series 7	05/08/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/28/2000

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.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/2008 - 11/2010	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 02/2002 - 06/2008	CASIMIR CAPITAL L.P.	105061	NEW YORK, NY
B 11/2002 - 03/2003	KUHNS BROTHERS SECURITIES CORPORATION	47331	LIME ROCK, CT
B 05/2000 - 07/2001	NDB CAPITAL MARKETS, LP	7172	NEW YORK, 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
10/2010 - Present	LAIDLAW & COMPANY (UK) LTD	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
05/2008 - 10/2010	AEGIS CAPITAL CORP.	REGISTERED REPRESENTATIVE	Y	NEW YORK, 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.

JMK PROPERTIES, LLC, INVESTMENT RELATED, 44 BRAMS HILL DRIVE, MAHWAH, NEW JERSEY, 07430 REAL ESTATE OWNER/PARTNER 4/01/07, 2 HOURS A MONTH, 0 HOURS/MONTH DURING TRADING HOURS. OVERSEE RENTAL PROPERTIES. STAQ PARTNERS,LLC, INVESTMENT RELATED, 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, INVESTMENTS/ADVISORY SERVICES, MANAGING MEMBER, 11/01/10, 5HRS A MONTH, 5 HOURS A MONTH DURING TRADING HRS., IDENTIFY INVESTMENT OPPORTUNITIES. MAJELLA PARTNERS,LLC, INVESTMENT RELATED, 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, MANAGING MEMBER, 7/11/16, 4 HRS A MONTH, 4 HOURS A MONTH DURING TRADING HRS., RAISING MONEY TO SUPPORT CANCER RESEARCH. PPLL PARTNERS LLC, INVESTMENT RELATED, 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, MANAGING MEMBER, 6/1/17, 2 HRS A MONTH, 2 HOURS A MONTH DURING TRADING HRS., FUND RESEARCH / NOVEL THERANOSTICS TECHNOLOGY. VOLTRON THERPEUTICS INC., NOT INVESTMENT RELATED, 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, BOARD MEMBER, 7/31/17, 4 HRS A MONTH, 4 HOURS A

Registration and Employment History



Other Business Activities, continued

MONTH DURING TRADING HRS., DRUG DEVELOPMENT, WORK WITH COUNSEL TO IN-LICENSE DRUG CANDIDATE. PD THERANOSTICS, INC., 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, DIRECTOR, 5/1/18, 4 HRS A MONTH, 2 HOURS A MONTH DURING TRADING HRS., WORK WITH COUNSEL TO IN-LICENSE TECHNOLOGY. ORONTES PARTNERS LLC, 575 FIFTH AVE, 14TH FLOOR, NEW YORK, NY 10175, MANAGING MEMBER, 10/1/18, 1 HRS A MONTH, 0 HOURS A MONTH DURING TRADING HRS., PERSONAL INVESTMENT VEHICLE.

LIDLAW HOLDINGS LLC, 521 FIFTH AVE, 12TH FLOOR, NEW YORK, NY 10175, MANAGING MEMBER, 4/5/17, 1 HRS A MONTH, 1 HOURS A MONTH DURING TRADING HRS., HOLDING COMPANY

LUCIUS PARTNERS LLC, INVESTMENT RELATED, 575 FIFTH AVE, 14TH FL. NEW YORK, NY 10175, MANAGING PARTNER, STARTED IN JANUARY 2020, 20 HOURS A MONTH, 15 DURING TRADING HOURS, CONSULTING MANAGEMENT

LEVI PARTNERS LLC, INVESTMENT RELATED, 521 FIFTH AVE, 12TH FL. NEW YORK, NY 10175, MANAGING PARTNER, STARTED IN JUNE 2020, 1 HOUR A MONTH, 1 DURING TRADING HOURS, CONSULTING MANAGEMENT



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	0	2	N/A
Investigation	1	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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CASIMIR CAPITAL L.P.

Allegations: [CUSTOMERS] OPENED THEIR ACCOUNT WITH CASIMIR ON NOVEMBER 5, 2007, AND [OTHER FIRM EMPLOYEE], [OTHER FIRM EMPLOYEE] AND MATTHEW EITNER SERVED AS THE PRIMARY REGISTERED REPRESENTATIVES FOR THEIR ACCOUNT. AFTER THE REGISTERED REPRESENTATIVES LEFT CASIMIR, THE ACCOUNT WAS ASSIGNED TO [OTHER FIRM EMPLOYEE] AND [OTHER FIRM EMPLOYEE]. AFTER [OTHER FIRM EMPLOYEE] LEFT CASIMIR, HE CONTACTED [CUSTOMER] TO ASK HIM TO TRANSFER THE ACCOUNT. [CUSTOMER] INDICATED THAT HE BELIEVED HE WAS ENTITLED AN ADJUSTMENT BASED UPON THE VOLUME OF TRADING. THEREAFTER, CASIMIR CONTACTED [CUSTOMER] TO DISCUSS THE ACCOUNT. IN THAT CONVERSATION [CUSTOMER] CONFIRMED THAT HE HAD AUTHORIZED ALL OF THE ACTIVITY IN HIS ACCOUNT AND THAT HE FULLY UNDERSTOOD THE RISKS ASSOCIATED WITH HIS CHOSEN INVESTMENT STRATEGY. HOWEVER, HE INDICATED THAT HE WAS ENTITLED TO DISCOUNTED COMMISSIONS BASED UPON THE VOLUME OF TRADING. ULTIMATELY, THE FIRM AGREED TO MAKE AN ADJUSTMENT TO ACCOMMODATE THE CLIENT'S REQUEST.

Product Type: Equity - OTC

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received: 12/16/2008



Complaint Pending? No
Status: Settled
Status Date: 12/16/2008
Settlement Amount: \$35,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: CASIMIR CAPITAL L.P

Allegations: ACCORDING TO CASIMIR CAPITAL: [CUSTOMERS] OPENED THEIR ACCOUNT WITH CASIMIR ON NOVEMBER 5, 2007, AND [OTHER FIRM EMPLOYEE], [OTHER FIRM EMPLOYEE] AND MATTHEW EITNER SERVED AS THE PRIMARY REGISTERED REPRESENTATIVES FOR THEIR ACCOUNT. AFTER THE REGISTERED REPRESENTATIVES LEFT CASIMIR, THE ACCOUNT WAS ASSIGNED TO [OTHER FIRM EMPLOYEE] AND [OTHER FIRM EMPLOYEE]. AFTER [OTHER FIRM EMPLOYEE] LEFT CASIMIR, HE CONTACTED [CUSTOMER] TO ASK HIM TO TRANSFER THE ACCOUNT. [CUSTOMER] INDICATED THAT HE BELIEVED HE WAS ENTITLED AN ADJUSTMENT BASED UPON THE VOLUME OF TRADING. THEREAFTER, CASIMIR CONTACTED [CUSTOMER] TO DISCUSS THE ACCOUNT. IN THAT CONVERSATION [CUSTOMER] CONFIRMED THAT HE HAD AUTHORIZED ALL OF THE ACTIVITY IN HIS ACCOUNT AND THAT HE FULLY UNDERSTOOD THE RISKS ASSOCIATED WITH HIS CHOSEN INVESTMENT STRATEGY. HOWEVER, HE INDICATED THAT HE WAS ENTITLED TO DISCOUNTED COMMISSIONS BASED UPON THE VOLUME OF TRADING. ULTIMATELY, THE FIRM AGREED TO MAKE AN ADJUSTMENT TO ACCOMMODATE THE CLIENT'S REQUEST.

Product Type: Equity - OTC
Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received: 12/16/2008
Complaint Pending? No
Status: Settled



Status Date: 12/16/2008

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement

I WAS NOT CONTACTED ABOUT THIS MATTER AND DID NOT HAVE THE OPPORTUNITY TO COMMENT ON IT WHILE IT WAS IN PROGRESS. I WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT. I BELIEVE THAT THIS MATTER DOES NOT AND SHOULD NOT INVOLVE A DISCLOSURE AS IT WAS A MATTER BETWEEN CASIMIR CAPITAL, THIER REPRESENTATIVES (OTHER THAN MYSELF, MATT EITNER, AND RICHARD MICHALSKI) AND THIER CUSTOMER(S). I UNDERSTAND THAT CASIMIR WAS INSTRUCTED TO MAKE THIS FILING IN THIS FASHION BUT AS I WAS NOT INVOLVED I BELIEVE I SHOULD NOT HAVE THIS ADDED TO MY CRD RECORD.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CASIMIR CAPITAL

Allegations: [CUSTOMER] PURCHASED NEKTAR THERAPEUTICS INCORPORATED ON TWO DIFFERENT OCCASIONS. [CUSTOMER] FELT THE INVESTMENT WAS A RISKY INVESTMENT AND TOO AGGRESSIVE FOR HIS PORTFOLIO. BECAUSE NEKTAR THERAPEUTICS INCORPORATED IS A HIGH BETA BIOTECHNOLOGY COMPANY, CASIMIR CAPITAL L.P. ELECTED TO ACCOMMODATE THE CUSTOMER BY CANCELING THE TRANSACTIONS IN QUESTION. CASIMIR CONSIDERS THIS MATTER CLOSED AS THE CLIENT WAS ACCOMMODATED, AND EXPRESSED HIS SATISFACTION

Product Type: Equity - OTC

Alleged Damages: \$18,921.83

Customer Complaint Information

Date Complaint Received: 10/24/2004

Complaint Pending? No

Status: Settled

Status Date: 03/01/2005

Settlement Amount: \$18,921.83



Individual Contribution Amount:

\$0.00

Broker Statement

CAPITAL L.P. ELECTED TO ACCOMMODATE THE CUSTOMER BY CANCELING THE TRANSACTIONS IN QUESTION. CASIMIR CONSIDERS THIS MATTER CLOSED AS THE CLIENT WAS ACCOMMODATED, AND EXPRESSED HIS SATISFACTION.



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Broker

Initiated By: FINRA

Notice Date: 03/06/2020

Details: From January through September 2015, FINRA alleges that, a former General Securities Principal, acting at the direction of Mr. Eitner, violated Section 10(b) of the Securities Exchange Act of 1934 and Rule 10-b5 thereunder, and FINRA Rule 2010 and 2020. From October 1, 2014 through February 11, 2015, FINRA alleges the same violation concerning a different issuer.

Is Investigation pending? Yes

End of Report



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