

## BrokerCheck Report

### Matthew Lawrence Guyton

CRD# 6691037

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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**Matthew L. Guyton**

CRD# 6691037

**Currently employed by and registered with the following Firm(s):****B PIPER SANDLER & CO.**

609 MAIN STREET  
38TH FLOOR  
HOUSTON, TX 77002  
CRD# 665

Registered with this firm since: 11/28/2018

**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
- 1 U.S. state or territory

**This broker has passed:**

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

**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**

**Registration History****This broker was previously registered with the following securities firm(s):****B WELLS FARGO SECURITIES, LLC**

CRD# 126292  
HOUSTON, TX  
09/2016 - 11/2018

## 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 1 U.S. state or territory through his or her employer.**

#### Employment 1 of 1

Firm Name: **PIPER Sandler & CO.**

Main Office Address: **350 N 5TH STREET  
SUITE 1000  
MINNEAPOLIS, MN 55401**

Firm CRD#: **665**

SRO	Category	Status	Date
 FINRA	Investment Banking Representative	Approved	11/28/2018
U.S. State/ Territory	Category	Status	Date
 Texas	Agent	Approved	11/28/2018

### Branch Office Locations

**PIPER Sandler & CO.**  
609 MAIN STREET  
38TH FLOOR  
HOUSTON, TX 77002

## 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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Banking Registered Representative Examination	Series 79	09/19/2016

### State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/23/2016

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/](http://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 09/2016 - 11/2018	WELLS FARGO SECURITIES, LLC	126292	HOUSTON, TX

## 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
11/2018 - Present	Piper Jaffray & Co.	Investment Banking	Y	Houston, TX, United States
07/2016 - 11/2018	Wells Fargo Securities, LLC	Associate - Energy & Power Investment Banking	Y	Houston, TX, United States
06/2016 - 07/2016	N/A	Unemployed	N	Houston, TX, United States
07/2015 - 05/2016	Rice University Jones Graduate School of Business	MBA Candidate	N	Houston, TX, 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.

Name of Other Business: Behind the Boxwood LLC

Investment Related:

Address of Other Business: PO Box 30222, Houston, TX

Nature of Other Business: Interior Design

Position: Other

Time devoted to the Business: 0 hours per Day

Compensation: No, ; 0 percent of time commitment during trading hours; Start date of other business is 1/30/2024

Duties include: My wife is starting up a new business in the interior design space (though not as a designer). She will be 100% owner and I will be a Beneficial Owner given our marital status.

## Registration and Employment History



### Other Business Activities, continued

Name of Other Business: The United States Naval Academy Alumni Association, Inc.

Investment Related:

Address of Other Business: 247 King George Street, Annapolis, MD

Nature of Other Business:

Position: Other

Time devoted to the Business: 50 hours per Year

Compensation: Yes, Travel, lodging, rental cars, ride services reimbursed (within reason) for activities requiring travel (such as the bi-annual meetings in Annapolis in May and December); 50 percent of time commitment during trading hours; Start date of other business is 5/10/2023

Duties include: Potential to serve on the Board of Trustees as the Trustee representative from the Gulf Coast Chapter (pending formal approval from Chapter; currently unopposed and supported by existing leadership).

Name of Other Business: Mr. Speakeasy Bespoke Bartending, LLC

Investment Related:

Address of Other Business: , ,

Nature of Other Business: Event Bartending

Position: Owner

Time devoted to the Business: 0 hours per Week

Compensation: No, ; 0 percent of time commitment during trading hours; Start date of other business is 12/31/2012

Duties include: Formed in 2012 to conduct event bartending. Never conducted business - remains inactive.

Name of Other Business: U.S. Naval Academy Alumni Association Texas Gulf Coast Chapter Foundation

Investment Related: Yes

Address of Other Business: P.O. Box 60623, Houston, TX

Nature of Other Business: Military Alumni Association

Position: Board Member / Director

Time devoted to the Business: 1 hours per Week

Compensation: No, ; 0 percent of time commitment during trading hours; Start date of other business is 1/4/2019

Duties include: Board Member

Name of Other Business: Guyton Family Properties

Investment Related: No

Address of Other Business: , ,

Nature of Other Business:

Position: Board Member / Director

Time devoted to the Business: 1 hours per Week

Compensation: Yes, Rental income; percent of time commitment during trading hours; Start date of other business is 1/4/2019

Duties include: Managing Member

## End of Report



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