



## IAPD Report

# MATTHEW WINTHROP

CRD# 2445102

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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.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### MATTHEW WINTHROP (CRD# 2445102)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AEGIS CAPITAL CORP.	CRD# 15007	09/25/2025
<b>IA</b>	AEGIS CAPITAL CORP.	CRD# 15007	09/25/2025

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	EQUITABLE ADVISORS, LLC	6627	EASTON, CT	01/10/2022 - 09/18/2025
<b>IA</b>	EQUITABLE ADVISORS, LLC	6627	EASTON, CT	01/10/2022 - 09/18/2025
<b>B</b>	AEGIS CAPITAL CORP.	15007	WESTPORT, CT	10/16/2017 - 02/01/2022

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 6 jurisdiction(s) and 3 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**  
Main Address: 1345 AVENUE OF THE AMERICAS  
27TH FLOOR  
NEW YORK, NY 10105  
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/25/2025
B FINRA	General Securities Representative	Approved	09/25/2025
B NYSE Arca, Inc.	General Securities Principal	Approved	09/25/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	09/25/2025
B Nasdaq Stock Market	General Securities Principal	Approved	09/25/2025
B Nasdaq Stock Market	General Securities Representative	Approved	09/25/2025
IA Connecticut	Investment Adviser Representative	Approved	09/25/2025
B Connecticut	Agent	Approved	10/01/2025
B Florida	Agent	Approved	09/25/2025
B New York	Agent	Approved	09/25/2025
B Pennsylvania	Agent	Approved	09/25/2025
B Texas	Agent	Approved	11/02/2025
B Virginia	Agent	Approved	10/28/2025



## Qualifications

### Branch Office Locations

**AEGIS CAPITAL CORP.**  
EASTON, CT

**AEGIS CAPITAL CORP.**  
1305 WALT WHITMAN RD  
SUITE 120  
MELVILLE, NY 11747




## Qualifications

### PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/12/2019

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	04/28/1994
	General Securities Representative Examination (S7)	Series 7	03/16/1994

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	12/18/2015
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/04/1994

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/10/2022 - 09/18/2025	EQUITABLE ADVISORS, LLC	CRD# 6627	EASTON, CT
IA	01/10/2022 - 09/18/2025	EQUITABLE ADVISORS, LLC	CRD# 6627	EASTON, CT
B	10/16/2017 - 02/01/2022	AEGIS CAPITAL CORP.	CRD# 15007	WESTPORT, CT
IA	10/16/2017 - 02/01/2022	AEGIS CAPITAL CORP.	CRD# 15007	WESTPORT, CT
B	07/14/2011 - 10/24/2017	RBC CAPITAL MARKETS, LLC	CRD# 31194	WESTPORT, CT
IA	07/14/2011 - 10/24/2017	RBC CAPITAL MARKETS, LLC	CRD# 31194	WESTPORT, CT
IA	08/15/2007 - 07/15/2011	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
B	08/14/2007 - 07/15/2011	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
IA	08/26/2003 - 08/15/2007	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	GREENWICH, CT
B	11/26/2002 - 08/15/2007	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	GREENWICH, CT
IA	01/11/2000 - 12/02/2002	UBS PAINWEBBER INC.	CRD# 8174	GREENWICH, CT
B	09/15/1998 - 12/02/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	12/15/1995 - 09/16/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/17/1994 - 12/21/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	Aegis Capital Corp	Registered Representative, Investment Advisor Representative	Y	Melville, NY, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2022 - 09/2025	Equitable Advisors	Registered Representative	Y	New York, NY, United States
10/2017 - 01/2022	AEGIS CAPITAL CORP	Registered Rep	Y	WESTPORT, CT, United States
07/2011 - 10/2017	RBC CAPITAL MARKETS LLC	FINANCIAL CONSULTANT	Y	WESTPORT, CT, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

CT Grateful Dead All Stars, Easton CT 06612; Not Investment Related; Musical Director, Music Group Live Shows; Start date: 2013; 5 hours per month devoted to business; 0 hours during securities trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5
Termination	1

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 5

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	PLAINTIFF ALLEGES SHE PURCHASED SFG SHARES FOR HER IRA ON 7/22/08 AWAY FROM OPPENHEIMER; THE FUNDS WERE WITHDRAWN FROM HER IRA, AND OPPENHEIMER TREATED THE WITHDRAWAL AS A DISTRIBUTION, AND PLAINTIFF WAS ALLEGEDLY PENALIZED BY THE IRS. THE COMPLAINT, FILED IN FEDERAL COURT, ALSO ALLEGES AN UNSPECIFIED UNAUTHORIZED TRADE BY WINTHROP.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNSPECIFIED, BUT PLAINTIFF ALLEGES DAMAGES OF EXCESS OF \$75,001
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	US DISTRICT COURT, SOUTHERN DISTRICT
<b>Docket/Case #:</b>	1;15CIV.340



Filing date of arbitration/CFTC reparation or civil litigation: 04/20/2015

### Customer Complaint Information

Date Complaint Received: 04/27/2015

Complaint Pending? No

Status: Settled

Status Date: 10/02/2015

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: PLANTIFF ALLEGES SHE PURCHASED SFG SHARES FOR HER IRA ON 7/22/05 AWAY FROM OPPENHEIMER; THE FUNDS WERE WITHDRAWN FROM HER IRA AND OPPENHEIMER TREATED THE WITHDRAWAL AND A DISTRIBUTION, AND PLANTIFF WAS ALLEGEDLY PENALIZED BY THE IRS. THE COMPLAINT, FILED IN FEDERAL COURT, ALSO ALLEGES AN UNSPECIFIED UNAUTHORIZED TRADE BY WINTHROP.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED, BY PLANTIFF ALLEGES DAMAGES OF EXCESS OF \$75,001

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: US DISTRICT COURT, SOUTHERN DISTRICT

Docket/Case #: 1:15CIV.340

Filing date of arbitration/CFTC reparation or civil litigation: 04/20/2015

### Customer Complaint Information

Date Complaint Received: 04/27/2015

Complaint Pending? No

Status: Settled

Status Date: 10/02/2015

Settlement Amount: \$50,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** This complaint was against my previous firm, OPCO , and related to a premature IRA distribution which the client claimed was coded incorrectly. Customer represented herself and inserted several allegations which the facts clearly refute. I was never named as a defendant in this case.

**Disclosure 2 of 5**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** UBS PAINWEBBER INC.

**Allegations:** CLIENT ALLEGES FINANCIAL ADVISOR MADE TRADES IN CLIENT'S ACCOUNT WITHOUT PERMISSION, EXCESSIVELY TRADED CLIENT'S ACCOUNT AND PLACED CLIENT IN UNSUITABLE INVESTMENTS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$86,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/02/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/13/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS PAINWEBBER, INC.

**Allegations:** CLIENT ALLEGES FA MADE TRADES IN CLIENT'S ACCOUNT WITHOUT PERMISSION, EXCESSIVELY TRADED CLIENT'S ACCOUNT AND PLACED CLIENT IN UNSUITABLE INVESTMENTS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$86,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/02/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/13/2003

**Settlement Amount:**



**Individual Contribution Amount:**

**Broker Statement**

I DENY THE CUSTOMER'S ALLEGATIONS AND THE CLAIM IS WITHOUT MERIT. NO WRONGDOING OCCURRED AND THE ALLEGATIONS ARE PROMPTED BY THE PERFORMANCE OF THE INVESTMENTS. THE TRANSACTIONS AT ISSUE WERE DONE WITH THE CLIENT'S PERMISSION AND THEY WERE CONSISTENT WITH HER PROFILE AND INVESTMENT OBJECTIVES. THE FIRM REVIEWED THE MATTER, DETERMINED THAT THE ALLEGATIONS WERE WITHOUT MERIT AND DENIED THE CLAIM.

**Disclosure 3 of 5**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CLIENT ALLEGES HIS FA'S MISREPRESENTED INVESTMENTS AND THE RISKS ASSOCIATED WITH THE INVESTMENTS OVER THE PAST 5 YEARS.

**Product Type:** Other: EQUITIES

**Alleged Damages:** \$50,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/07/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/09/2002

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** CLIENT ALLEGED IS FA MISREPRESENTED INVESTMENTS AND THE RISKS ASSOCIATED WITH THE INVESTMENTS OVER THE PAST FIVE YEARS.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$50,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes



Is this an arbitration/CFTC reparation or civil litigation? No

**Customer Complaint Information**

Date Complaint Received: 03/07/2002

Complaint Pending? No

Status: Denied

Status Date: 01/09/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

**Broker Statement** I HAVE NOT SPOKEN TO THE CUSTOMER SINCE AUGUST OF 1998. HE NEVER CAME WITH ME TO MY NEW FIRM ( PAINWEBBER). I AM AT A LOSS AS TO WHY I WOULD BE NAMED IN THIS AS THERE HAS BEEN NO BUSINESS RELATIONSHIP FOR ALMOST FOUR YEARS.

**Disclosure 4 of 5**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CLIENT ALLEGES THAT STOCK WERE PURCHASED WITHOUT HER KNOWLEDGE BY MATTHEW WINTHROP. CLIENT ALLEGES LOSSES OF \$21,777.00.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$21,777.00

**Customer Complaint Information**

Date Complaint Received: 11/16/1999

Complaint Pending? No

Status: Denied

Status Date: 11/30/1999

Settlement Amount:

Individual Contribution Amount:

Firm Statement MATTER IS DENIED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PSI INC.

Allegations: CLIENT ALLEGES THAT STOCK WAS PURCHASED WITHOUT HER KNOWLEDGE.

Product Type: Equity Listed (Common & Preferred Stock)



**Alleged Damages:** \$21,777.00

**Customer Complaint Information**

**Date Complaint Received:** 11/16/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/30/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 5 of 5**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES

**Allegations:** PRUDENTIAL SECURITIES CLIENT COMPLAINT ALLEGING EXCESSIVE AND SPECULATIVE TRADING WITH POOR ASSET ALLOCATION AND DAMAGES IN EXCESS OF \$55,834.00.

**Product Type:** Equity - OTC

**Alleged Damages:** \$55,834.00

**Customer Complaint Information**

**Date Complaint Received:** 07/13/1998

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 01/09/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THIS ITEM IS OVER 24 MONTHS OLD AND IS NO LONGER REPORTABLE.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** EQUITABLE ADVISORS, LLC  
**Termination Type:** Discharged  
**Termination Date:** 09/15/2025  
**Allegations:** RR discharged for excessive trading in client brokerage accounts  
**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)

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**Reporting Source:** Individual  
**Firm Name:** EQUITABLE ADVISORS, LLC  
**Termination Type:** Discharged  
**Termination Date:** 09/15/2025  
**Allegations:** RR discharged for excessive trading in client brokerage accounts.  
**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)



## End of Report

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