



IAPD Report

Matthew Evan Klein

CRD# 5060520

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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 Evan Klein (CRD# 5060520)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MATAURO, LLC	CRD# 333038	09/27/2024
B	THE LEADERS GROUP, INC.	CRD# 37157	11/26/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	New York, NY	10/04/2024 - 12/02/2024
IA	EQUITABLE ADVISORS, LLC	6627	NEW YORK, NY	07/19/2006 - 10/08/2024
B	EQUITABLE ADVISORS, LLC	6627	NEW YORK, NY	12/09/2005 - 10/08/2024

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



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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MATAURO, LLC**
Main Address: 1325 AVENUE OF THE AMERICAS
NEW YORK, NY 10019
Firm ID#: 333038

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	09/27/2024
IA Texas	Investment Adviser Representative	Restricted Approval	05/07/2026

Branch Office Locations

MATAURO, LLC
Livingstone, NY

Employment 2 of 2

Firm Name: **THE LEADERS GROUP, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 37157

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/26/2024
B FINRA	General Securities Representative	Approved	11/26/2024
B California	Agent	Approved	11/26/2024
B Connecticut	Agent	Approved	11/26/2024
B Delaware	Agent	Approved	04/02/2025



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	11/26/2024
B Florida	Agent	Approved	11/26/2024
B Illinois	Agent	Approved	05/09/2025
B Maryland	Agent	Approved	11/26/2024
B New Jersey	Agent	Approved	11/26/2024
B New York	Agent	Approved	11/26/2024
B Texas	Agent	Approved	11/26/2024
B Virginia	Agent	Approved	01/02/2025

Branch Office Locations

1325 Avenue of the Americas, 27th Floor
New York, NY 10019



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	04/12/2010

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/08/2005

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	01/02/2006

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	10/04/2024 - 12/02/2024	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	New York, NY
IA	07/19/2006 - 10/08/2024	EQUITABLE ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	12/09/2005 - 10/08/2024	EQUITABLE ADVISORS, LLC	CRD# 6627	NEW YORK, 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
11/2024 - Present	Simplicity Investments, Inc.	Registered Representative	Y	Littleton, CO, United States
09/2024 - Present	Matauro LLC	Founder, CEO	Y	New York, NY, United States
10/2024 - 11/2024	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2005 - 09/2024	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2005 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

- 1.) MATAURO LLC - 9/27/24 - 1325 Avenue of the Americas, 27th Floor, New York, NY 10019 - Founder/CEO, Investment Advisory & Operating the business, Invt Rel, RIA, 175 hrs/mo; 325 hrs/mo (during trading hours).
- 2.) CRUMP - 11/19/24 - 371 Bogart Road, Palenville, NY 12463 - Insurance professional, Advise on fixed insurance, Not invt rel, fixed insurance business, 5 hrs/mo; 1 hr/mo (during 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

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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EQUITABLE ADVISORS, LLC
Allegations:	Customer alleges RR Misrepresented liquidity and principal protection of securities purchased in 2012.
Product Type:	Other: Securities Investments
Alleged Damages:	\$110,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer is requesting \$110,000 + interest.
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:	05/12/2025
Complaint Pending?	No
Status:	Denied
Status Date:	07/22/2025
Settlement Amount:	



Individual Contribution Amount:

Firm Statement Firm found no basis to the customer's complaint.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE ADVISORS, LLC

Allegations: Customer alleges RR Misrepresented liquidity and principal protection of securities purchased in 2012.

Product Type: Other: Securities Investments

Alleged Damages: \$110,000.00

Alleged Damages Amount Explanation (if amount not exact): Customer is requesting \$110,000 + interest

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: 05/12/2025

Complaint Pending? No

Status: Denied

Status Date: 07/22/2025

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA Advisors, LLC

Allegations: Client alleges misrepresentation in the purchase of an incentive life insurance policy in 2014.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Client did not specify a dollar amount.

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: 05/17/2016

Complaint Pending? No

Status: Settled

Status Date: 09/13/2016

Settlement Amount: \$25,261.01

Individual Contribution
Amount: \$0.00

Broker Statement The firm found no basis to this complaint and no sales practice violation on the part of the registered representative. A good faith offer was made and accepted by the client.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: AXA ADVISORS, LLC

Allegations: CLIENT ALLEGES THE SALE OF A 2014 VARIABLE LIFE INSURANCE POLICY WAS NOT SUITABLE BASED ON HER INCOME. CLIENT IS REQUESTING THE FIRM TO CANCEL THE POLICY AND REFUND PREMIUMS PAID. DAMAGES UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount
Explanation (if amount not
exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.

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: 09/29/2014

Complaint Pending? No

Status: Denied

Status Date: 11/07/2014

Settlement Amount:

Individual Contribution
Amount:

Broker Statement THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

**Disclosure 4 of 5**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS, LLC

Allegations: CLIENT ALLEGES THAT HE WAS UNAWARE HE PURCHASED A VARIABLE ANNUITY CONTRACT. CLIENT IS REQUESTING A FULL REFUND OF HIS ORIGINAL DEPOSIT. DAMAGES UNSPECIFIED.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.

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: 05/23/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/07/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement DUE TO NO RESPONSE FROM CLIENT, THE FIRM HAS CLOSED THE FILE ON THIS MATTER.

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS, LLC

Allegations: CLIENT IS ALLEGING MISREPRESENTATION IN THE SALE OF A 2009 VARIABLE LIFE INSURANCE POLICY. CLIENT IS REQUESTING A REFUND OF PREMIUMS PAID. DAMAGES UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.

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: 12/16/2011

Complaint Pending? No

Status: Denied

Status Date: 01/23/2012

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement THE FIRM HAS FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.



End of Report

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