

## BrokerCheck Report

### KLEON FINANCIAL, LLC

CRD# 121537

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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).



## KLEON FINANCIAL, LLC

CRD# 121537

SEC# 8-65423

### Main Office Location

C/O ACCOUNTING & COMPLIANCE  
INTERNATIONAL  
199 WATER ST., 9TH FL  
NEW YORK, NY 10038  
Regulated by FINRA New York Office

### Mailing Address

C/O ACCOUNTING & COMPLIANCE  
INTERNATIONAL  
199 WATER ST., 9TH FL  
NEW YORK, NY 10038

### Business Telephone Number

212-306-1010

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 02/28/2002.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

**This firm is registered with:**

- the SEC
- 4 Self-Regulatory Organizations
- 6 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in North Carolina on 02/28/2002.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### **KLEON FINANCIAL, LLC**

**Doing business as KLEON FINANCIAL, LLC**

**CRD#** 121537

**SEC#** 8-65423

### **Main Office Location**

C/O ACCOUNTING & COMPLIANCE INTERNATIONAL  
199 WATER ST., 9TH FL  
NEW YORK, NY 10038

**Regulated by FINRA New York Office**

### **Mailing Address**

C/O ACCOUNTING & COMPLIANCE INTERNATIONAL  
199 WATER ST., 9TH FL  
NEW YORK, NY 10038

### **Business Telephone Number**

212-306-1010



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	KLEON FINANCIAL HOLDINGS LLC
<b>Is this a domestic or foreign entity or an individual?</b>	Domestic Entity
<b>Position</b>	HOLDING COMPANY
<b>Position Start Date</b>	04/2025
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CATANIA, NEIL MICHAEL 2719448
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CHIEF EXECUTIVE OFFICER
<b>Position Start Date</b>	04/2025
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CLARKE, RICARDO CONSTANTINE 6253240
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP/PFO/POO
<b>Position Start Date</b>	07/2025

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	SMYTH, MICHAEL FRANCIS 1871779
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	04/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No
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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

### Indirect Owners

**Legal Name & CRD# (if any):** GHANEM, PHILIPPE

8073610

**Is this a domestic or foreign entity or an individual?** Individual

**Company through which indirect ownership is established** LYFE SA

**Relationship to Direct Owner** INDIRECT OWNER

**Relationship Established** 04/2025

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** LYFE SA

**Is this a domestic or foreign entity or an individual?** Foreign Entity

**Company through which indirect ownership is established** KLEON FINANCIAL HOLDINGS, LLC

**Relationship to Direct Owner** INDIRECT OWNER

**Relationship Established** 04/2025

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.







Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 4 SROs and 6 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	01/02/2003

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	01/02/2003
NYSE American LLC	Approved	05/15/2025
NYSE Arca, Inc.	Approved	05/15/2025
New York Stock Exchange	Approved	05/15/2025

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	01/31/2011
Connecticut	Approved	07/28/2009
Louisiana	Approved	10/05/2006
New York	Approved	01/11/2003
North Carolina	Approved	01/08/2003
Virginia	Approved	05/03/2004

## Firm Operations



### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 3 types of businesses.**

#### Types of Business

Exchange member engaged in exchange commission business other than floor activities

Exchange member engaged in floor activities

Private placements of securities

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

<b>Name:</b>	CLEAR STREET LLC
<b>CRD #:</b>	288933
<b>Business Address:</b>	4 WORLD TRADE CENTER 150 GREENWICH STREET, 45TH FL NEW YORK, NY 10007
<b>Effective Date:</b>	06/06/2025
<b>Description:</b>	CLEAR STREET LLC PROVIDES CLEARING SERVICES FOR THE FIRM'S SECURITIES BUSINESS ON A FULLY DISCLOSED BASIS.

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## Firm Operations

### Industry Arrangements



**This firm does have books or records maintained by a third party.**

**Name:** ACCOUNTING AND COMPLIANCE INTERNATIONAL

**Business Address:** 199 WATER STREET, 9TH FLOOR  
NEW YORK, NY 10038

**Effective Date:** 07/21/2025

**Description:** CERTAIN FINANCIAL BOOKS AND RECORDS ARE MAINTAINED AT ACCOUNTING AND COMPLIANCE INTERNATIONAL, THE FIRM'S FINOP AND ACCOUNTING FIRM.

**Name:** COMPLIANCE ADMINISTRATION, LLC

**Business Address:** P.O. BOX 530  
BARNEGAT LIGHT, NJ 08006

**Effective Date:** 04/01/2025

**Description:** COMPLIANCE ADMINISTRATION MAINTAINS A CONSULTING ARRANGEMENT WITH KLEON FINANCIAL, LLC. CERTAIN BOOKS AND RECORDS FOR THE NYSE BUSINESS ARE MAINTAINED AT THIS LOCATION.

**Name:** GLOBAL RELAY

**Business Address:** 220 CAMBIE STREET, 2ND FLOOR  
VANCOUVER, CANADA V6B 2

**Effective Date:** 04/01/2025

**Description:** GLOBAL RELAY PROVIDES EMAIL AND INSTANT MESSAGE RETENTION SERVICES.

**Name:** OPTIMAL APPLICATIONS, LLC

**Business Address:** P.O. BOX 86  
CRESKILL, NE 07626

**Effective Date:** 04/15/2025

**Description:** OPTIMAL APPLICATIONS, LLC PROVIDES COMMISSION BILLING AND SUPERVISORY TOOLS FOR NYSE ORDER AND TRADE DATA.

**This firm does have accounts, funds, or securities maintained by a third party.**

**Name:** CLEAR STREET LLC

**CRD #:** 288933

## Firm Operations



### Industry Arrangements (continued)

**Business Address:** 4 WORLD TRADE CENTER  
150 GREENWICH STREET, 45TH FLOOR  
NEW YORK, NY 10007

**Effective Date:** 06/06/2025

**Description:** KLEON FINANCIAL, LLC MAINTAINS A CLEARING ACCOUNT AND ERROR ACCOUNTS AT CLEAR STREET, LLC.

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**This firm does have customer accounts, funds, or securities maintained by a third party.**

**Name:** CLEAR STREET LLC

**CRD #:** 288933

**Business Address:** 4 WORLD TRADE CENTER  
150 GREENWICH STREET, 45TH FL  
NEW YORK, NY 10007

**Effective Date:** 06/06/2025

**Description:** KLEON FINANCIAL, LLC'S CUSTOMERS ARE INTRODUCED TO CLEAR STREET, LLC ON A FULLY DISCLOSED BASIS UNDER AND ARRANGEMENT IN WHICH CERTAIN ACCOUNTS AND RECORDS OF THE APPLICANT'S CUSTOMERS ARE MAINTAINED. ALL CUSTOMERS ARE INTRODUCED TO CLEAR STREET ON A FULLY DISCLOSED BASIS.

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### Control Persons/Financing

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is not, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

**End of Report**



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