

## Direct Owners/Executive Officers

**Organization CRD Number: 7059**
**Organization Name: CITIGROUP GLOBAL MARKETS INC.**
**Organization SEC Number: 8-8177**
**Applicant Name: CITIGROUP GLOBAL MARKETS INC.**
[View IA Record](#)

Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
GATELY, TIMOTHY HUGH	Individual	DIRECTOR	10/2023	Less than 5%	Y	N	<a href="#">2570328</a>
VALDERRABANO, VALENTIN LUIS	Individual	DIRECTOR	10/2023	Less than 5%	Y	N	<a href="#">7588283</a>
TROMBETTA, SANTO VITO	Individual	PRINCIPAL OPERATIONS OFFICERS (FINOP)	07/2015	Less than 5%	Y	N	<a href="#">2068210</a>
CITIGROUP FINANCIAL PRODUCTS INC.	Domestic Entity	100% SHAREHOLDER	09/1998	75% or more	Y	N	13-3240203
CHIRICO, JOHN A	Individual	DIRECTOR	02/2021	Less than 5%	Y	N	<a href="#">2916366</a>
KLEIN, ROBERT FRANCIS	Individual	CO-GENERAL COUNSEL	03/2021	Less than 5%	Y	N	<a href="#">2937015</a>
HEPPOLETTE, JOHN DESMOND	Individual	CEO/CHAIRMAN/PRESIDENT	06/2023	Less than 5%	Y	N	<a href="#">2383239</a>
PLATT, DANA LYNN	Individual	CHIEF COMPLIANCE OFFICER - INVESTMENT ADVISORY BUSINESSES	03/2013	Less than 5%	Y	N	<a href="#">6123347</a>
MESHEL, ADAM REID	Individual	CO-GENERAL COUNSEL	04/2013	Less than 5%	Y	N	<a href="#">3101145</a>
PALOMAKI, DANIEL SCOTT	Individual	PRINCIPAL FINANCIAL OFFICER	12/2017	Less than 5%	Y	N	<a href="#">6817317</a>
DHOUBI, STEPHANIE ANISSA	Individual	DIRECTOR	03/2022	Less than 5%	Y	N	<a href="#">7189271</a>
KURSMAN, SCOTT CHARLES	Individual	CHIEF COMPLIANCE OFFICER	06/2019	Less than 5%	Y	N	<a href="#">2590327</a>
HEPPOLETTE, JOHN DESMOND	Individual	DIRECTOR	04/2023	Less than 5%	Y	N	<a href="#">2383239</a>
FEENEY, SHAWN K	Individual	INDEPENDENT DIRECTOR	04/2023	Less than 5%	Y	N	<a href="#">6903768</a>

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