

## 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#
VALDERRABANO, VALENTIN LUIS	Individual	DIRECTOR	10/2023	Less than 5%	Y	N	<a href="#">7588283</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>
RICHARDSON, CYRUS BEGLEY III	Individual	CHIEF COMPLIANCE OFFICER	05/2024	Less than 5%	Y	N	<a href="#">5284855</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>
DHOUBI, STEPHANIE ANISSA	Individual	DIRECTOR	03/2022	Less than 5%	Y	N	<a href="#">7189271</a>
VAROUS, DINA	Individual	DIRECTOR/CEO/PRESIDENT/CHAIRWOMAN	04/2024	Less than 5%	Y	N	<a href="#">5012034</a>
BARRATT, CHRISTOPHER	Individual	CHIEF OPERATIONS OFFICER/PRINCIPAL OPERATIONS OFFICER (FINOP)	08/2024	Less than 5%	Y	N	<a href="#">5659131</a>
CONWAY, JOHN JAMES	Individual	PRINCIPAL FINANCIAL OFFICER (INTERIM)	08/2024	Less than 5%	Y	N	<a href="#">1584619</a>