

IAPD Report

DAVID MILLES DANIEL

CRD# 1453281

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When communicating online or investing with any professional, make sure you know who you're dealing with. 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

▶ DAVID MILLES DANIEL (CRD# 1453281)

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 **06/18/2025**.

CURRENT EMPLOYERS

_	Firm	CRD#	Registered Since
В	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	08/06/2007
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	08/06/2007

QUALIFICATIONS

This representative is currently registered in 26 SRO(s) and 27 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
В	TD AMERITRADE, INC.	7870	SANTA BARBARA, CA	04/06/2007 - 06/12/2007
IA	AMERIVEST INVESTMENT MANAGEMENT,	111514	SANTA BARBARA, CA	04/04/2007 - 06/12/2007
IA	TD AMERITRADE, INC.	7870	SANTA BARBARA, CA	04/04/2007 - 06/12/2007

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?

The following types of events are disclosed about this representative:

	21
Туре	Count
Customer D	spute 1

Yes



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 **27** jurisdiction(s) and 26 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: CITIGROUP GLOBAL MARKETS INC.

Main Address: 388 GREENWICH STREET

NEW YORK, NY 10013

Firm ID#: 7059

	Regulator	Registration	Status	Date
В	BOX Exchange LLC	General Securities Representative	Approved	04/15/2020
В	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
В	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
В	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/15/2020
В	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/14/2015
В	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/14/2015
В	Cboe Exchange, Inc.	General Securities Representative	Approved	03/08/2011
В	FINRA	General Securities Representative	Approved	08/06/2007
В	Investors' Exchange LLC	General Securities Representative	Approved	08/19/2016
В	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/19/2025
В	MEMX LLC	General Securities Representative	Approved	02/19/2025
В	MIAX Emerald, LLC	General Securities Representative	Approved	04/15/2020
В	MIAX PEARL, LLC	General Securities Representative	Approved	04/15/2020





		Qualifications		
	Regulator	Registration	Status	Date
В	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
В	Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/15/2020
В	NYSE American LLC	General Securities Representative	Approved	07/12/2011
В	NYSE Arca, Inc.	General Securities Representative	Approved	05/14/2015
В	NYSE National, Inc.	General Securities Representative	Approved	07/06/2018
В	NYSE Texas, Inc.	General Securities Representative	Approved	05/14/2015
В	Nasdaq BX, Inc.	General Securities Representative	Approved	08/28/2013
В	Nasdaq GEMX, LLC	General Securities Representative	Approved	04/15/2020
В	Nasdaq ISE, LLC	General Securities Representative	Approved	05/14/2015
В	Nasdaq MRX, LLC	General Securities Representative	Approved	04/15/2020
В	Nasdaq PHLX LLC	General Securities Representative	Approved	11/18/2011
В	Nasdaq Stock Market	General Securities Representative	Approved	08/06/2007
В	New York Stock Exchange	General Securities Representative	Approved	08/06/2007
В	Alabama	Agent	Approved	07/20/2020
В	Alaska	Agent	Approved	07/18/2023
В	Arizona	Agent	Approved	06/20/2017

Agent

Agent

Arkansas

California

06/26/2025

08/06/2007

Approved

Approved





B Colorado Agent Approved 05/12/2010 B Connecticut Agent Approved 08/16/2022 B Florida Agent Approved 03/25/2009 B Idaho Agent Approved 11/27/2023 B Illinois Agent Approved 04/20/2018 B Iowa Agent Approved 04/20/2018 B Missouri Agent Approved 01/28/2021 B Montana Agent Approved 04/12/2010 B New Hampshire Agent Approved 03/09/2010 B New Mexico Agent Approved 01/28/2019 B New York Agent Approved 03/11/2015 B Ohio Agent Approved 03/11/2015 B Oklahoma Agent Approved 09/01/2016 B Pennsylvania Agent Approved 04/26/2019 <th colspan="5">Qualifications</th>	Qualifications				
B Colorado Agent Approved 05/12/2010 B Connecticut Agent Approved 08/16/2022 B Florida Agent Approved 03/25/2009 B Idaho Agent Approved 11/27/2023 B Illinois Agent Approved 04/20/2018 B Iowa Agent Approved 01/28/2021 B Missouri Agent Approved 01/28/2021 B Montana Agent Approved 04/12/2010 B Nevada Agent Approved 03/09/2010 B New Hampshire Agent Approved 01/28/2019 B New York Agent Approved 04/22/2015 B Ohio Agent Approved 09/01/2016 B Oklahoma Agent Approved 09/01/2016 B Oregon Agent Approved 04/26/2019 B Texas Agent	Regulator	Registration	Status	Date	
B Connecticut Agent Approved O8/16/2022 B Florida Agent Approved O3/25/2009 B Idaho Agent Approved 11/27/2023 B Illinois Agent Approved O4/20/2018 B Iowa Agent Approved O4/20/2018 B Iowa Agent Approved O4/20/2018 B Missouri Agent Approved O4/20/2018 B Montana Agent Approved O4/12/2010 B Nevada Agent Approved O3/09/2010 B New Hampshire Agent Approved O1/28/2021 B New Mexico Agent Approved O1/28/2019 B New York Agent Approved O4/22/2015 B Ohio Agent Approved O3/11/2015 B Oklahoma Agent Approved O9/01/2016 B Oregon Agent Approved O9/01/2016 B Pennsylvania Agent Approved O4/26/2019 B Texas Agent Approved O4/26/2019 C Carrell Approve	IA California	Investment Adviser Representative	Approved	08/06/2007	
Florida	B Colorado	Agent	Approved	05/12/2010	
B Idaho Agent Approved 11/27/2023 B Illinois Agent Approved 04/20/2018 B Iowa Agent Approved 10/30/2020 B Missouri Agent Approved 01/28/2021 B Montana Agent Approved 04/12/2010 B Nevada Agent Approved 03/09/2010 B New Hampshire Agent Approved 11/09/2010 B New Mexico Agent Approved 01/28/2019 B New York Agent Approved 04/12/2015 B Ohio Agent Approved 03/11/2015 B Ohio Agent Approved 09/01/2016 B Oregon Agent Approved 02/18/2019 B Pennsylvania Agent Approved 04/26/2019 B Texas Agent Approved 04/26/2019	B Connecticut	Agent	Approved	08/16/2022	
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B New Hampshire Agent Approved 03/09/2010 B New Hampshire Agent Approved 11/09/2010 B New Mexico Agent Approved 01/28/2019 B New York Agent Approved 04/22/2015 B Ohio Agent Approved 03/11/2015 B Oklahoma Agent Approved 09/01/2016 B Oregon Agent Approved 02/18/2010 B Pennsylvania Agent Approved 04/26/2019 B Texas Agent Approved 10/01/2019	B Missouri	Agent	Approved	01/28/2021	
New Hampshire Agent Approved 11/09/2010 Rew Mexico Agent Approved 01/28/2019 New York Agent Approved 04/22/2015 Ohio Agent Approved 03/11/2015 Oklahoma Agent Approved 09/01/2016 Oregon Agent Approved 02/18/2010 Pennsylvania Agent Approved 04/26/2019 Texas Agent Approved 10/01/2019	B Montana	Agent	Approved	04/12/2010	
B New Mexico Agent Approved 01/28/2019 B New York Agent Approved 04/22/2015 B Ohio Agent Approved 03/11/2015 B Oklahoma Agent Approved 09/01/2016 B Oregon Agent Approved 02/18/2010 B Pennsylvania Agent Approved 04/26/2019 B Texas Agent Approved 10/01/2019	B Nevada	Agent	Approved	03/09/2010	
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B Oklahoma Agent Approved 09/01/2016 B Oregon Agent Approved 02/18/2010 B Pennsylvania Agent Approved 04/26/2019 B Texas Agent Approved 10/01/2019	B New York	Agent	Approved	04/22/2015	
B Oregon Agent Approved 02/18/2010 B Pennsylvania Agent Approved 04/26/2019 D Texas Agent Approved 10/01/2019	B Ohio	Agent	Approved	03/11/2015	
B Pennsylvania Agent Approved 04/26/2019 B Texas Agent Approved 10/01/2019	B Oklahoma	Agent	Approved	09/01/2016	
B Texas Agent Approved 10/01/2019	B Oregon	Agent	Approved	02/18/2010	
	B Pennsylvania	Agent	Approved	04/26/2019	
B Utah Agent Approved 04/12/2010	B Texas	Agent	Approved	10/01/2019	
	B Utah	Agent	Approved	04/12/2010	





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	Regulator	Registration	Status	Date
В	Vermont	Agent	Approved	06/09/2015
В	Virginia	Agent	Approved	08/25/2016
В	Washington	Agent	Approved	09/22/2017
В	Wisconsin	Agent	Approved	08/16/2022

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.

Santa Barbara, CA

CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales 430 Arneill Road Camarillo, CA 93010

CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales 739 West Channels Islands Blvd. Port Hueneme, CA 93041



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
В	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
В	General Securities Representative Examination (S7)	Series 7	01/18/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/02/2003
В	Uniform Securities Agent State Law Examination (S63)	Series 63	09/04/1986

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
В	04/06/2007 - 06/12/2007	TD AMERITRADE, INC.	CRD# 7870	SANTA BARBARA, CA
IA	04/04/2007 - 06/12/2007	AMERIVEST INVESTMENT MANAGEMENT, LLC	CRD# 111514	SANTA BARBARA, CA
IA	04/04/2007 - 06/12/2007	TD AMERITRADE, INC.	CRD# 7870	SANTA BARBARA, CA
IA	12/15/2003 - 06/02/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	PORT HUENEME, CA
В	02/05/2003 - 06/02/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
В	12/07/1999 - 02/05/2003	CAL FED INVESTMENTS	CRD# 19631	SACRAMENTO, CA
В	08/27/1996 - 12/31/1998	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
В	07/28/1992 - 10/26/1994	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
В	04/02/1991 - 07/08/1991	FEDERATION FOR FINANCIAL INDEPENDENCE	CRD# 13355	
В	06/30/1986 - 02/14/1991	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
В	03/06/1986 - 06/23/1986	KENNEDY, CABOT & CO.	CRD# 2417	
В	01/23/1986 - 02/24/1986	PATRICK-RILEY SECURITIES INC.	CRD# 16525	

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
07/2007 - Present	CITIGROUP GLOBAL MARKETS INC.	FINANCIAL ADVISOR	Υ	NEW YORK, NY, United States





Registration & Employment History



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.

TERRA ACQUA CORP. NOT INVESTMENT RELATED PLUMBING PRODUCTS. 3463 STATE ST #148, SANTA BARBARA, CA. 93105 PART OWNER OPERATIONS REVIEW 15 HRS PER MONTH NOT 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.
 - o 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:

Туре	Count
Customer Dispute	4
Customer Dispute	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 1

Reporting Source: Individual

Employing firm when

activities occurred which led

to the complaint:

CITIGROUP GLOBAL MARKETS INC

Allegations: CLAIMANT ALLEGES NEGLIGENCE, BREACH OF CONTRACT, BREACH OF

FIDUCIARY DUTY, MISREPRESENTATION AND UNSUITABILITY IN

CONNECTION WITH LOSSES APPROXIMATELY BETWEEN DECEMBER 2007

AND MAY 2014.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not

exact):

DAMAGES ARE UNSPECIFIED BUT BELEIVED TO EXCEED \$5000.00

Is this an oral complaint? Nο Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #: 14-01523 Filing date of 05/12/2014

arbitration/CFTC reparation

or civil litigation:





Customer Complaint Information

Date Complaint Received: 06/03/2014

Complaint Pending? No

Status: Settled

 Status Date:
 08/13/2015

 Settlement Amount:
 \$60,000.00

Individual Contribution

Amount:

\$0.00

Broker Statement THE FIRM DECIDED TO SETTLE THIS MATTER TO AVOID THE COSTS AND

RISKS OF PROTRACTED LITIGATION. WE CONTINUE TO DENY THE ALLEGATIONS ALLEGED IN THE CLAIM. THE REGISTERED PERSON DID

NOT CONTRIBUTE TO THE SETTLEMENT.





