



IAPD Report

WILLIAM ARTHUR OSLAND

CRD# 1602095

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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.



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

WILLIAM ARTHUR OSLAND (CRD# 1602095)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	05/29/2007
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	05/29/2007

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **53** 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
IA	CITICORP INVESTMENT SERVICES	23988	RIVERSIDE, CA	11/06/2003 - 05/29/2007
B	CITICORP INVESTMENT SERVICES	23988	RIVERSIDE, CA	02/05/2003 - 05/29/2007
B	IFMG SECURITIES, INC.	14416	PURCHASE, NY	03/14/2001 - 07/05/2002

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	1



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 **53** jurisdiction(s) and 28 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
B	24X National Exchange LLC	General Securities Principal	Approved	10/20/2025
B	24X National Exchange LLC	General Securities Representative	Approved	10/20/2025
B	BOX Exchange LLC	General Securities Principal	Approved	04/15/2020
B	BOX Exchange LLC	General Securities Representative	Approved	04/15/2020
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/15/2020
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/24/2013
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/24/2013
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/31/2019
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	05/31/2019
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/19/2025
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	05/14/2015



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/14/2015
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/14/2015
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/08/2011
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/08/2011
B Cboe Exchange, Inc.	General Securities Principal	Approved	02/19/2025
B FINRA	General Securities Principal	Approved	05/29/2007
B FINRA	General Securities Representative	Approved	05/29/2007
B FINRA	General Securities Sales Supervisor	Approved	05/29/2007
B FINRA	Municipal Securities Principal	Approved	05/29/2007
B FINRA	Invest. Co and Variable Contracts	Approved	02/27/2008
B FINRA	Municipal Securities Representative	Approved	02/11/2019
B Investors' Exchange LLC	General Securities Principal	Approved	08/19/2016
B Investors' Exchange LLC	General Securities Representative	Approved	08/19/2016
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/19/2025
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/19/2025



Qualifications

	Regulator	Registration	Status	Date
B	MEMX LLC	General Securities Principal	Approved	02/19/2025
B	MEMX LLC	General Securities Representative	Approved	02/19/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	02/19/2025
B	MIAX Emerald, LLC	General Securities Principal	Approved	04/15/2020
B	MIAX Emerald, LLC	General Securities Representative	Approved	04/15/2020
B	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B	MIAX PEARL, LLC	General Securities Principal	Approved	04/15/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	04/15/2020
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B	MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	04/15/2020
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/15/2020
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B	NYSE American LLC	Securities Manager	Approved	06/26/2010
B	NYSE American LLC	General Securities Principal	Approved	07/12/2011
B	NYSE American LLC	General Securities Representative	Approved	07/12/2011



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	Municipal Securities Principal	Approved	07/12/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	02/11/2019
B NYSE American LLC	Municipal Securities Representative	Approved	02/11/2019
B NYSE Arca, Inc.	General Securities Principal	Approved	05/14/2015
B NYSE Arca, Inc.	General Securities Representative	Approved	05/14/2015
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
B NYSE National, Inc.	General Securities Principal	Approved	07/06/2018
B NYSE National, Inc.	General Securities Representative	Approved	07/06/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	07/06/2018
B NYSE National, Inc.	Municipal Securities Principal	Approved	07/06/2018
B NYSE National, Inc.	Municipal Securities Representative	Approved	07/06/2018
B NYSE Texas, Inc.	General Securities Principal	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Representative	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq GEMX, LLC	General Securities Principal	Approved	04/15/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/15/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq ISE, LLC	General Securities Principal	Approved	05/14/2015
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/14/2015



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/15/2020
B Nasdaq MRX, LLC	General Securities Representative	Approved	04/15/2020
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq PHLX LLC	General Securities Principal	Approved	11/18/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/18/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/18/2011
B Nasdaq Stock Market	General Securities Principal	Approved	05/29/2007
B Nasdaq Stock Market	General Securities Representative	Approved	05/29/2007
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/29/2007
B Nasdaq Texas, LLC	General Securities Principal	Approved	08/28/2013
B Nasdaq Texas, LLC	General Securities Representative	Approved	08/28/2013
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	08/28/2013
B New York Stock Exchange	General Securities Representative	Approved	05/29/2007
B New York Stock Exchange	Securities Manager	Approved	03/27/2008
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	Municipal Securities Representative	Approved	02/11/2019



Qualifications

Regulator	Registration	Status	Date
B Texas Stock Exchange LLC	General Securities Principal	Approved	07/02/2026
B Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B Alabama	Agent	Approved	05/02/2019
B Alaska	Agent	Approved	05/02/2019
B Arizona	Agent	Approved	05/02/2019
B Arkansas	Agent	Approved	05/02/2019
B California	Agent	Approved	05/29/2007
IA California	Investment Adviser Representative	Approved	05/29/2007
B Colorado	Agent	Approved	05/02/2019
B Connecticut	Agent	Approved	05/02/2019
B Delaware	Agent	Approved	05/02/2019
B District of Columbia	Agent	Approved	05/02/2019
B Florida	Agent	Approved	05/02/2019
B Georgia	Agent	Approved	10/30/2019
B Hawaii	Agent	Approved	05/02/2019
B Idaho	Agent	Approved	05/02/2019
B Illinois	Agent	Approved	05/02/2019
B Indiana	Agent	Approved	05/02/2019
B Iowa	Agent	Approved	05/02/2019



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	05/02/2019
B Kentucky	Agent	Approved	05/02/2019
B Louisiana	Agent	Approved	05/02/2019
B Maine	Agent	Approved	05/02/2019
B Maryland	Agent	Approved	05/02/2019
B Massachusetts	Agent	Approved	05/02/2019
B Michigan	Agent	Approved	05/02/2019
B Minnesota	Agent	Approved	05/02/2019
B Mississippi	Agent	Approved	05/02/2019
B Missouri	Agent	Approved	05/02/2019
B Montana	Agent	Approved	05/02/2019
B Nebraska	Agent	Approved	05/02/2019
B Nevada	Agent	Approved	05/29/2007
B New Hampshire	Agent	Approved	05/02/2019
B New Jersey	Agent	Approved	05/02/2019
B New Mexico	Agent	Approved	05/02/2019
B New York	Agent	Approved	05/02/2019
B North Carolina	Agent	Approved	05/02/2019



Qualifications

	Regulator	Registration	Status	Date
B	North Dakota	Agent	Approved	05/02/2019
B	Ohio	Agent	Approved	05/03/2019
B	Oklahoma	Agent	Approved	05/02/2019
B	Oregon	Agent	Approved	05/02/2019
B	Pennsylvania	Agent	Approved	05/02/2019
B	Puerto Rico	Agent	Approved	05/02/2019
B	Rhode Island	Agent	Approved	05/02/2019
B	South Carolina	Agent	Approved	05/02/2019
B	South Dakota	Agent	Approved	05/02/2019
B	Tennessee	Agent	Approved	05/02/2019
B	Texas	Agent	Approved	05/02/2019
B	Utah	Agent	Approved	09/11/2012
B	Vermont	Agent	Approved	05/02/2019
B	Virgin Islands	Agent	Approved	05/02/2019
B	Virginia	Agent	Approved	05/02/2019
B	Washington	Agent	Approved	05/02/2019
B	West Virginia	Agent	Approved	05/02/2019
B	Wisconsin	Agent	Approved	05/02/2019
B	Wyoming	Agent	Approved	05/02/2019



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
Citi Wealth Management, Sales
17400 Brookhurst St. Suite 200
Fountain Valley, CA 92708

CITIGROUP GLOBAL MARKETS INC.
Murrieta, CA



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 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/06/2006
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/07/2006
	Municipal Securities Principal Examination (S53)	Series 53	08/30/2005
	General Securities Principal Examination (S24)	Series 24	04/04/1994

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/25/1993
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/21/1987

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/26/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/11/1993



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/06/2003 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	RIVERSIDE, CA
B	02/05/2003 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	RIVERSIDE, CA
B	03/14/2001 - 07/05/2002	IFMG SECURITIES, INC.	CRD# 14416	PURCHASE, NY
B	04/20/1998 - 10/30/2000	FISERV INVESTOR SERVICES, INC.	CRD# 34637	HOUSTON, TX
B	02/09/1993 - 04/08/1998	FIMCO SECURITIES GROUP, INC.	CRD# 30343	PORT WASHINGTON, WA
B	04/03/1992 - 12/15/1992	AEGON USA SECURITIES INC.	CRD# 13302	CEDAR RAPIDS, IA
B	01/14/1991 - 03/23/1992	NAP FINANCIAL CORPORATION	CRD# 16023	IRVINE, CA
B	08/21/1987 - 01/20/1989	AGFC INVESTMENT SECURITIES	CRD# 19869	
B	01/23/1987 - 08/22/1987	DUERR FINANCIAL CORPORATION	CRD# 18558	

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
05/2007 - Present	CITIGROUP GLOBAL MARKETS INC.	AREA INVESTMENT MANAGER	Y	RIVERSIDE, CA, 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.

No information reported.



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	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:	CLIENT'S ATTORNEY ALLEGES REGISTERED PERSON FAILED TO SUPERVISE REGISTERED REPRESENTATIVE IN CONNECTION WITH ALLEGATIONS OF UNAUTHORIZED TRADING, SUITABILITY, AND FAILURE TO FOLLOW INSTRUCTIONS AGAINST THE REGISTERED REPRESENTATIVE IN RELATION TO THE SALE OF TWO MUNICIPAL BONDS. DATE OF OCCURRENCE: OCTOBER 2016 - FEBRUARY 2017. DAMAGES UNSPECIFIED.
Product Type:	Debt-Municipal
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED.
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:	02/09/2017
Complaint Pending?	No



Status: Denied

Status Date: 02/09/2017

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

After a thorough investigation, the firm did not find any evidence to substantiate the customer's claims of unauthorized trading, suitability and failure to follow instructions in relation to the sale of two municipal bonds. Registered Person denies he failed to supervise Registered Representative in connection with the allegations. The transaction and supervision were according to the firm's policy.



End of Report

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