



IAPD Report

Scott Douglas Samuels

CRD# 2000735

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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

Scott Douglas Samuels (CRD# 2000735)

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	11/01/2021
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	11/01/2021

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **24** 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	INFINEX INVESTMENTS, INC.	35371	NEW YORK, NY	09/05/2018 - 10/29/2021
B	INFINEX INVESTMENTS, INC.	35371	NEW YORK, NY	08/06/2018 - 10/29/2021
IA	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	154632	NEW YORK, NY	07/13/2018 - 08/24/2018

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 **24** jurisdiction(s) and 27 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 Representative	Approved	10/20/2025
B BOX Exchange LLC	General Securities Representative	Approved	11/01/2021
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B FINRA	General Securities Representative	Approved	11/01/2021
B Investors' Exchange LLC	General Securities Representative	Approved	11/01/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2021
B MEMX LLC	General Securities Representative	Approved	11/01/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	11/01/2021



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2021
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/01/2021
B NYSE American LLC	General Securities Representative	Approved	11/01/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	11/01/2021
B NYSE National, Inc.	General Securities Representative	Approved	11/01/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	11/01/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/01/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/01/2021
B Nasdaq MRX, LLC	General Securities Representative	Approved	11/01/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/01/2021
B Nasdaq Stock Market	General Securities Representative	Approved	11/01/2021
B Nasdaq Texas, LLC	General Securities Representative	Approved	11/01/2021
B New York Stock Exchange	General Securities Representative	Approved	11/01/2021
B California	Agent	Approved	11/02/2021
B Colorado	Agent	Approved	11/01/2021
B Connecticut	Agent	Approved	11/01/2021
B District of Columbia	Agent	Approved	11/01/2021



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	11/01/2021
B	Illinois	Agent	Approved	12/07/2021
B	Indiana	Agent	Approved	12/03/2021
B	Iowa	Agent	Approved	07/30/2025
B	Maryland	Agent	Approved	11/01/2021
B	Michigan	Agent	Approved	11/01/2021
B	Montana	Agent	Approved	11/01/2021
B	Nevada	Agent	Approved	03/28/2022
B	New Jersey	Agent	Approved	11/01/2021
B	New York	Agent	Approved	11/01/2021
IA	New York	Investment Adviser Representative	Approved	11/01/2021
B	North Carolina	Agent	Approved	11/01/2021
B	Ohio	Agent	Approved	11/01/2021
B	Oregon	Agent	Approved	11/01/2021
B	Pennsylvania	Agent	Approved	11/01/2021
B	South Carolina	Agent	Approved	10/12/2022
B	Tennessee	Agent	Approved	11/01/2021
B	Texas	Agent	Approved	10/21/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	05/28/2025



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	11/01/2021
B Virginia	Agent	Approved	11/09/2021
B Washington	Agent	Approved	12/01/2021

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
New York, NY

CITIGROUP GLOBAL MARKETS INC.
CWM Retail, Sales
153-16 Tenth Ave
Whitestone, NY 11357



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/20/1990

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	12/31/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1990

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
IA	09/05/2018 - 10/29/2021	INFINEX INVESTMENTS, INC.	CRD# 35371	NEW YORK, NY
B	08/06/2018 - 10/29/2021	INFINEX INVESTMENTS, INC.	CRD# 35371	NEW YORK, NY
IA	07/13/2018 - 08/24/2018	SPARTAN CAPITAL PRIVATE WEALTH MANAGEMENT LLC	CRD# 154632	NEW YORK, NY
B	08/09/2016 - 08/24/2018	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	NEW YORK, NY
B	03/25/2010 - 08/10/2016	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
IA	03/25/2010 - 08/10/2016	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
B	12/17/2008 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
IA	12/17/2008 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
IA	01/03/2008 - 12/19/2008	LADENBURG THALMANN ASSET MANAGEMENT INC	CRD# 108604	NEW YORK, NY
B	05/22/2006 - 12/19/2008	LADENBURG THALMANN & CO. INC.	CRD# 505	NEW YORK, NY
B	04/29/2002 - 06/01/2006	RYAN BECK & CO.	CRD# 3248	GREAT NECK, NY
B	06/27/2001 - 05/15/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	04/21/1997 - 06/27/2001	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PHILADELPHIA, PA
B	02/28/1994 - 04/14/1997	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/26/1990 - 03/09/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/30/1990 - 10/30/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	01/24/1990 - 06/04/1990	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
10/2021 - Present	Citigroup	Senior Wealth Advisor	Y	WHITESTONE, NY, United States
08/2018 - 10/2021	Amalgamated Bank	Banking	Y	Astoria, NY, United States
08/2018 - 10/2021	Infinex Investments, Inc.	Reg Rep	Y	Meriden, CT, United States
08/2016 - 08/2018	Spartan Capital Securities LLC	Registered Rep	Y	New York, NY, United States
03/2010 - 08/2016	AEGIS CAPIITAL CORP.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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:	Firm
Employing firm when activities occurred which led to the complaint:	PSI
Allegations:	CLAIMANTS ALLEGE EXCESSIVE TRADING AND SUITABILITY ISSUES.
Product Type:	Other
Other Product Type(s):	STOCKS
Alleged Damages:	\$300,000.00

Customer Complaint Information

Date Complaint Received:	05/04/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/06/2000
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	[CUSTOMER], [OTHER CUSTOMER NAMED] AND [THIRD PARTY] V. AMUEL SAMUELS, NASD #98-04985
Date Notice/Process Served:	05/04/2000



Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/06/2000
Monetary Compensation Amount: \$44,000.00
Individual Contribution Amount: \$9,000.00

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Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PAINWEBBER
Allegations: CLAIMANTS ALLEGES EXCESSIVE TRADING AND UNSUITABLE TRADING ON MARGIN IN THEIR PAINWEBBER ACCOUNT FROM 1992 TO 1994. CLAIMED DAMAGES ARE UP TO \$300,000.
Product Type: Other
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 02/09/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/09/1999
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-04985
Date Notice/Process Served: 02/09/1999
Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/04/2001
Monetary Compensation Amount: \$44,000.00
Individual Contribution Amount: \$9,000.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PAINWEBBER
Allegations: INVESTMENT PRODUCT: EQUITY LISTED, ALLEGATIONS: SUITABILITY,



EXCESSIVE
TRADING, ALLEGED DAMAGES: \$300,000.00

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 02/09/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/09/1999

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD; 98-04985
[CUSTOMERS] VS. SCOTT SAMUELS AND PAINE WEBBER INC.

Date Notice/Process Served: 02/09/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/04/2001

**Monetary Compensation
Amount:** \$44,000.00

**Individual Contribution
Amount:** \$9,000.00

Broker Statement

I VEHEMENTLY DENY ANY ALLEGATIONS OF INAPPROPRIATE OR IMPROPER ACTION AS THEY PERTAIN TO MY HANDLING OF ACCOUNT NUMBER [BAN] FOR [OTHER CUSTOMER NAMED] AND [CUSTOMER], ACCOUNT NUMBER [BAN] FOR [OTHER CUSTOMER NAMED], AND ACCOUNT NUMBER [BAN] FOR [OTHER CUSTOMER NAMED] ("COLLECTIVELY THE [CUSTOMERS]") ALL TRADES MADE THROUGH ME AT PAINE WEBBER BY THE [CUSTOMERS] WERE MADE WITH THEIR EXPRESS AUTHORITY AND CONSENT AND WERE NOT MADE AS THE RESULT OF ANY PRESSURE FROM ME. IN ADDITION, [CUSTOMER] INFORMED ME THAT HE LIKED TRADING ON MARGIN AND THAT HE LIKED BUYING SPECULATIVE STOCKS. IN 1994, I MOVED FROM PAINEWEBBER TO PRUDENTIAL AND THE [CUSTOMERS] SIGNED THE NECESSARY TRANSFER FORMS IN ORDER FOR THEIR ACCOUNTS TO MOVE WITH ME. THEIR ACCOUNTS REMAINED WITH ME DURING MY STAY AT PRUDENTIAL FOR APPROXIMATELY THREE YEARS.



End of Report

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