



## IAPD Report

**ARTHUR LEE**

CRD# 2401933

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	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

### ARTHUR LEE (CRD# 2401933)

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 **02/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	10/14/2019
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	10/21/2019

### QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and **3** 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
B	H. BECK, INC.	1763	BETHESDA, MD	05/21/2018 - 08/10/2018
B	SCOTTRADE, INC.	8206	BETHESDA, MD	03/27/2003 - 05/11/2017
B	TD WATERHOUSE INVESTOR SERVICES, INC.	7870	OMAHA, NE	11/07/1995 - 03/17/2003

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?

**No**



## 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 **3** 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
<b>B</b>	BOX Exchange LLC	General Securities Principal	Approved	10/14/2019
<b>B</b>	BOX Exchange LLC	General Securities Representative	Approved	10/14/2019
<b>B</b>	BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/18/2025
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	10/14/2019



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b> Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Cboe Exchange, Inc.	General Securities Principal	Approved	02/18/2025
<b>B</b> FINRA	General Securities Principal	Approved	10/14/2019
<b>B</b> FINRA	General Securities Representative	Approved	10/14/2019
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Investors' Exchange LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/18/2025
<b>B</b> Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/18/2025
<b>B</b> MEMX LLC	General Securities Principal	Approved	02/18/2025
<b>B</b> MEMX LLC	General Securities Representative	Approved	02/18/2025
<b>B</b> MEMX LLC	General Securities Sales Supervisor	Approved	02/18/2025
<b>B</b> MIAX Emerald, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> MIAX Emerald, LLC	General Securities Representative	Approved	10/14/2019



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> MIAX PEARL, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> MIAX PEARL, LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> MIAX Sapphire	General Securities Principal	Approved	09/23/2024
<b>B</b> MIAX Sapphire	General Securities Representative	Approved	09/23/2024
<b>B</b> MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> NYSE American LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> NYSE American LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b> NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> NYSE National, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	10/14/2019



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> NYSE National, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> NYSE Texas, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b> NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Nasdaq BX, Inc.	General Securities Principal	Approved	10/14/2019
<b>B</b> Nasdaq BX, Inc.	General Securities Representative	Approved	10/14/2019
<b>B</b> Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Nasdaq GEMX, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Nasdaq ISE, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Nasdaq MRX, LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Nasdaq MRX, LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/14/2019
<b>B</b> Nasdaq PHLX LLC	General Securities Principal	Approved	10/14/2019
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	10/14/2019
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/14/2019



## Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Principal	Approved	10/14/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	10/14/2019
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/14/2019
B	New York Stock Exchange	General Securities Principal	Approved	10/14/2019
B	New York Stock Exchange	General Securities Representative	Approved	10/14/2019
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/14/2019
IA	District of Columbia	Investment Adviser Representative	Approved	10/21/2019
B	Maryland	Agent	Approved	10/14/2019
B	New York	Agent	Approved	10/14/2019

## Branch Office Locations

**CITIGROUP GLOBAL MARKETS INC.**  
Potomac, MD

**CITIGROUP GLOBAL MARKETS INC.**  
CITI PRIVATE BANK  
1101 PENNSYLVANIA AVE., NW, 11TH FLOOR  
WASHINGTON, DC 20004









## 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, 2 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Principal Examination (S24)	Series 24	07/16/2018
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/05/1998

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	08/10/2018
	General Securities Representative Examination (S7)	Series 7	10/18/1993

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/07/2018
	 Uniform Securities Agent State Law Examination (S63)	Series 63	10/11/1993

### 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
B	05/21/2018 - 08/10/2018	H. BECK, INC.	CRD# 1763	BETHESDA, MD
B	03/27/2003 - 05/11/2017	SCOTTRADE, INC.	CRD# 8206	BETHESDA, MD
B	11/07/1995 - 03/17/2003	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	OMAHA, NE
B	02/09/1995 - 10/23/1995	HALPERT AND COMPANY, INC.	CRD# 7094	MILLBURN, NJ
B	07/12/1994 - 01/31/1995	SUNPOINT SECURITIES, INC.	CRD# 25442	LONGVIEW, TX
B	10/19/1993 - 06/28/1994	MONTANO SECURITIES CORPORATION	CRD# 7887	ORANGE, CA

### 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
08/2019 - Present	CITIGROUP	CLIENT SERVICE OFFICER	Y	WASHINGTON, DC, United States
09/2018 - 07/2019	UNEMPLOYED	N/A	N	POTOMAC, MD, United States
05/2018 - 08/2018	HBECK INC	ADVISOR SUPERVISOR	Y	BETHESDA, MD, United States
05/2017 - 04/2018	UNEMPLOYED	N/A	N	POTOMAC, MD, United States
03/2003 - 04/2017	SCOTTRADE, INC.	Branch Manager	Y	Bethesda, MD, 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.

#### UBER RIDE SHARING

POSITION: Uber Driver NATURE: Other OBA INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING

HOURS: 0 START DATE: 07/07/2017

ADDRESS: 10411 Dalebrooke lane, Potomac MD 20854, United States

DESCRIPTION: Ridesharing Service



## End of Report

This page is intentionally left blank.