IAPD Report

BRIAN SODOL

CRD# 2760345

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

BRIAN SODOL (CRD# 2760345)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	06/23/2014
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	06/23/2014

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **48** 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	M&T SECURITIES, INC.	17358	BROOKLYN, NY	05/08/2013 - 07/01/2014
IA	M&T SECURITIES, INC.	17358	BROOKLYN, NY	05/08/2013 - 07/01/2014
B	HSBC SECURITIES (USA) INC.	19585	PELHAM, NY	12/18/2007 - 04/24/2013

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	2

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 **48** 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	10/18/2025
B	24X National Exchange LLC	General Securities Representative	Approved	10/18/2025
B	24X National Exchange LLC	Securities Trader	Approved	10/18/2025
B	24X National Exchange LLC	Securities Trader Principal	Approved	10/18/2025
B	BOX Exchange LLC	General Securities Principal	Approved	02/07/2020
B	BOX Exchange LLC	General Securities Representative	Approved	02/07/2020
B	BOX Exchange LLC	Securities Trader	Approved	02/07/2020
B	BOX Exchange LLC	Securities Trader Principal	Approved	02/07/2020
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	06/23/2014
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/23/2014
B	Cboe BYX Exchange, Inc.	Securities Trader	Approved	02/07/2020
B	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	06/23/2014

Qualifications

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/23/2014
B	Cboe BZX Exchange, Inc.	Securities Trader	Approved	02/07/2020
B	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	02/07/2020
B	Cboe C2 Exchange, Inc.	Securities Trader	Approved	02/07/2020
B	Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/20/2025
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	05/14/2015
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/14/2015
B	Cboe EDGA Exchange, Inc.	Securities Trader	Approved	02/07/2020
B	Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
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.	Securities Trader	Approved	02/07/2020
B	Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/23/2014
B	Cboe Exchange, Inc.	Securities Trader	Approved	02/07/2020
B	Cboe Exchange, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Cboe Exchange, Inc.	General Securities Principal	Approved	02/20/2025

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/23/2014
B	FINRA	General Securities Representative	Approved	06/23/2014
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	08/03/2018
B	FINRA	Corporate Securities Represent	Approved	02/07/2020
B	Investors' Exchange LLC	General Securities Principal	Approved	08/19/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	08/19/2016
B	Investors' Exchange LLC	Securities Trader	Approved	08/19/2016
B	Investors' Exchange LLC	Securities Trader Principal	Approved	02/07/2020
B	Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/20/2025
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/20/2025
B	Long-Term Stock Exchange, Inc.	Securities Trader	Approved	02/20/2025
B	Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	02/20/2025
B	MEMX LLC	General Securities Principal	Approved	02/20/2025
B	MEMX LLC	General Securities Representative	Approved	02/20/2025
B	MEMX LLC	Securities Trader	Approved	02/20/2025
B	MEMX LLC	Securities Trader Principal	Approved	02/20/2025
B	MIAX Emerald, LLC	General Securities Principal	Approved	02/07/2020

Qualifications

	Regulator	Registration	Status	Date
B	MIAX Emerald, LLC	General Securities Representative	Approved	02/07/2020
B	MIAX Emerald, LLC	Securities Trader	Approved	02/07/2020
B	MIAX Emerald, LLC	Securities Trader Principal	Approved	02/07/2020
B	MIAX PEARL, LLC	General Securities Principal	Approved	02/07/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	02/07/2020
B	MIAX PEARL, LLC	Securities Trader	Approved	02/07/2020
B	MIAX PEARL, LLC	Securities Trader Principal	Approved	02/07/2020
B	MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	MIAX Sapphire	Securities Trader	Approved	09/23/2024
B	MIAX Sapphire	Securities Trader Principal	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	02/07/2020
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	02/07/2020
B	Miami International Securities Exchange, LLC	Securities Trader	Approved	02/07/2020
B	Miami International Securities Exchange, LLC	Securities Trader Principal	Approved	02/07/2020
B	NYSE American LLC	General Securities Principal	Approved	06/23/2014
B	NYSE American LLC	General Securities Representative	Approved	06/23/2014

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	Securities Manager	Approved	06/23/2014
B	NYSE American LLC	Securities Trader	Approved	01/04/2016
B	NYSE American LLC	Corporate Securities Represent	Approved	02/07/2020
B	NYSE American LLC	Securities Trader Principal	Approved	02/07/2020
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.	Securities Trader	Approved	02/07/2020
B	NYSE Arca, Inc.	Securities Trader Principal	Approved	02/07/2020
B	NYSE National, Inc.	General Securities Principal	Approved	08/03/2018
B	NYSE National, Inc.	General Securities Representative	Approved	08/03/2018
B	NYSE National, Inc.	Securities Trader	Approved	08/03/2018
B	NYSE National, Inc.	Securities Trader Principal	Approved	08/03/2018
B	NYSE National, Inc.	Corporate Securities Represent	Approved	02/07/2020
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.	Corporate Securities Represent	Approved	02/07/2020
B	NYSE Texas, Inc.	Securities Trader	Approved	02/07/2020
B	NYSE Texas, Inc.	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	02/07/2020

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	02/07/2020
B	Nasdaq GEMX, LLC	Securities Trader	Approved	02/07/2020
B	Nasdaq GEMX, LLC	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq ISE, LLC	General Securities Principal	Approved	05/14/2015
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/14/2015
B	Nasdaq ISE, LLC	Securities Trader	Approved	02/07/2020
B	Nasdaq ISE, LLC	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq MRX, LLC	General Securities Principal	Approved	02/07/2020
B	Nasdaq MRX, LLC	General Securities Representative	Approved	02/07/2020
B	Nasdaq MRX, LLC	Securities Trader	Approved	02/07/2020
B	Nasdaq MRX, LLC	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq PHLX LLC	General Securities Principal	Approved	06/23/2014
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/23/2014
B	Nasdaq PHLX LLC	Securities Trader	Approved	02/07/2020
B	Nasdaq PHLX LLC	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq Stock Market	General Securities Principal	Approved	06/23/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	06/23/2014
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	Nasdaq Stock Market	Corporate Securities Represent	Approved	02/07/2020

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	Securities Trader Principal	Approved	02/07/2020
B	Nasdaq Texas, LLC	General Securities Principal	Approved	06/23/2014
B	Nasdaq Texas, LLC	General Securities Representative	Approved	06/23/2014
B	Nasdaq Texas, LLC	Securities Trader	Approved	02/07/2020
B	Nasdaq Texas, LLC	Securities Trader Principal	Approved	02/07/2020
B	New York Stock Exchange	General Securities Principal	Approved	06/23/2014
B	New York Stock Exchange	General Securities Representative	Approved	06/23/2014
B	New York Stock Exchange	Securities Manager	Approved	06/23/2014
B	New York Stock Exchange	Securities Trader	Approved	01/04/2016
B	New York Stock Exchange	Corporate Securities Represent	Approved	02/07/2020
B	New York Stock Exchange	Securities Trader Principal	Approved	02/07/2020
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	Texas Stock Exchange LLC	Securities Trader	Approved	07/02/2026
B	Texas Stock Exchange LLC	Securities Trader Principal	Approved	07/02/2026
B	Alabama	Agent	Approved	06/20/2019
B	Alaska	Agent	Approved	03/01/2023
B	Arizona	Agent	Approved	06/17/2019
B	California	Agent	Approved	12/11/2014

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	10/22/2019
B	Connecticut	Agent	Approved	07/08/2014
B	Delaware	Agent	Approved	09/01/2020
B	District of Columbia	Agent	Approved	11/09/2020
B	Florida	Agent	Approved	07/08/2014
B	Georgia	Agent	Approved	09/25/2014
B	Hawaii	Agent	Approved	09/26/2018
B	Idaho	Agent	Approved	06/17/2019
B	Illinois	Agent	Approved	12/22/2020
B	Indiana	Agent	Approved	03/27/2015
B	Kansas	Agent	Approved	06/24/2019
B	Kentucky	Agent	Approved	03/01/2023
B	Louisiana	Agent	Approved	06/18/2019
B	Maine	Agent	Approved	02/07/2020
B	Maryland	Agent	Approved	07/10/2014
B	Massachusetts	Agent	Approved	05/18/2018
B	Michigan	Agent	Approved	12/19/2018
B	Minnesota	Agent	Approved	01/23/2025

Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	02/07/2024
B	Montana	Agent	Approved	01/06/2025
B	Nebraska	Agent	Approved	12/23/2024
B	Nevada	Agent	Approved	12/18/2020
B	New Hampshire	Agent	Approved	02/07/2020
B	New Jersey	Agent	Approved	06/23/2014
IA	New Jersey	Investment Adviser Representative	Approved	06/23/2014
B	New Mexico	Agent	Approved	11/01/2022
B	New York	Agent	Approved	06/23/2014
IA	New York	Investment Adviser Representative	Approved	08/17/2021
B	North Carolina	Agent	Approved	07/14/2014
B	Ohio	Agent	Approved	04/05/2019
B	Oklahoma	Agent	Approved	06/05/2019
B	Oregon	Agent	Approved	05/22/2018
B	Pennsylvania	Agent	Approved	07/08/2014
B	Puerto Rico	Agent	Approved	08/15/2022
B	Rhode Island	Agent	Approved	08/15/2022
B	South Carolina	Agent	Approved	11/25/2016
B	South Dakota	Agent	Approved	01/10/2022

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	01/29/2019
B	Texas	Agent	Approved	07/10/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	05/28/2025
B	Utah	Agent	Approved	03/22/2023
B	Vermont	Agent	Approved	03/26/2015
B	Virgin Islands	Agent	Approved	12/08/2023
B	Virginia	Agent	Approved	06/23/2015
B	Washington	Agent	Approved	06/17/2019
B	Wisconsin	Agent	Approved	01/03/2025
B	Wyoming	Agent	Approved	06/18/2019

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
Fort Lee, NJ

CITIGROUP GLOBAL MARKETS INC.
CWM Retail, Sales
660 Fifth Ave
New York, NY 10103

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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	03/02/2000

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	11/12/2001
B	General Securities Representative Examination (S7)	Series 7	04/17/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1997

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
B	05/08/2013 - 07/01/2014	M&T SECURITIES, INC.	CRD# 17358	BROOKLYN, NY
IA	05/08/2013 - 07/01/2014	M&T SECURITIES, INC.	CRD# 17358	BROOKLYN, NY
B	12/18/2007 - 04/24/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	PELHAM, NY
IA	12/18/2007 - 04/24/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	PELHAM, NY
IA	09/17/2007 - 12/17/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILLWOOD, NY
B	08/03/2005 - 12/17/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILLWOOD, NY
B	04/05/2005 - 06/27/2005	IFMG SECURITIES, INC.	CRD# 14416	PURCHASE, NY
B	10/06/2003 - 04/04/2005	VERTICAL CAPITAL PARTNERS, INC.	CRD# 35909	NEW YORK, NY
B	03/14/2002 - 01/06/2003	CALDWELL INTERNATIONAL SECURITIES	CRD# 104323	NASSAU, BAHAMAS
B	10/10/2001 - 02/21/2002	DOMESTIC SECURITIES, INC.	CRD# 34721	MONTVALE, NJ
B	05/26/2000 - 11/02/2000	PRO-INTEGRITY SECURITIES, INC.	CRD# 44707	LONGVIEW, TX
B	12/07/1999 - 06/12/2000	JWGENESIS FINANCIAL SERVICES, INC.	CRD# 11025	ST. LOUIS, MO
B	01/11/1999 - 11/19/1999	SUNPOINT SECURITIES, INC.	CRD# 25442	LONGVIEW, TX
B	04/02/1998 - 02/04/1999	BRIARWOOD INVESTMENT COUNSEL	CRD# 6368	NEW YORK, NY
B	06/25/1997 - 04/29/1998	DUKE & CO., INC.	CRD# 8035	NEW YORK, NY
B	04/18/1997 - 07/08/1997	RUSSO SECURITIES INC.	CRD# 14425	STATEN ISLAND, 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

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
06/2014 - Present	CITIGROUP	FINANCIAL ADVISOR	Y	BRONX, 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.

OA name: 41 Markham Circle Rental Property, Nature: (Real Estate), (Investment-related: Yes, Location: Englewood, NJ, started 08/01/2024), Title: LANDLORD, Duties: LANDLORD / RENTAL INCOME / PROPERTY HELD IN PERSONAL NAME, Hours: (0 trading hours/month, 1-5 non-trading hours/month).

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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	The client alleges his financial advisor told him that his Vimian rights did not sell, despite his best efforts. However, the client claims the rights were put up for conversion, not sale, which was not permitted for stock holders in the US. Client believes he should have been made whole when the issue was identified. Occurrence Dates From 3/26/2024 to 1/7/2025 Disputed Amount $8,300
Product Type:	No Product
Alleged Damages:	$8,300.00
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:	01/10/2025
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/21/2025
Settlement Amount:	
Individual Contribution	

Amount:

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	Claimant alleges that his financial advisor, Brian Sodol, failed to timely execute the sale of $1.6 million-worth of subscription rights in a certain company's stock before the rights expired. Customer alleges the failure amounted to breach of fiduciary duty, negligence, and negligent supervision by Citigroup Global Markets Inc. Claimant also seeks to hold Mr. Sodol personally liable for negligence. Claimant seeks $1.6 million in compensation, plus interest, costs, disgorgement of commissions and punitive damages.
Product Type:	Derivative Options
Alleged Damages:	$1,600,000.00
Is this an oral complaint?	No
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 #:	24-01356
Filing date of arbitration/CFTC reparation or civil litigation:	06/18/2024

Customer Complaint Information

Date Complaint Received:	06/21/2024
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2024
Settlement Amount:	$1,336,179.10
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-01356
Date Notice/Process Served:	06/21/2024
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	05/28/2025
Monetary Compensation Amount:	$1,336,179.10
Individual Contribution Amount:	$0.00
Broker Statement	CGMI and Brian Sodol agreed to settle the Action, without an admission of wrongdoing, for the sum of $1, 336, 179.10 and the Claimants agreed to dismiss the Action with prejudice.

End of Report

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