



IAPD Report

KIMBERLY CHESSLER

CRD# 5435517

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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

KIMBERLY CHESSLER (CRD# 5435517)

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 **07/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	04/21/2008
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	04/04/2022

QUALIFICATIONS

This representative is currently registered in **26** 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	CITIGROUP GLOBAL MARKETS INC.	7059	Fort Mill, SC	04/23/2012 - 03/31/2022

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 **53** 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
	BOX Exchange LLC	General Securities Representative	Approved	04/15/2020
	BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/15/2020
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/24/2013
	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/15/2020
	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	04/15/2020
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/14/2015
	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/14/2015
	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	05/14/2015
	Cboe Exchange, Inc.	General Securities Representative	Approved	03/08/2011
	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/08/2011
	FINRA	General Securities Representative	Approved	04/21/2008



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Sales Supervisor	Approved	05/19/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	08/19/2016
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	03/31/2022
B	MEMX LLC	General Securities Representative	Approved	03/31/2022
B	MEMX LLC	General Securities Sales Supervisor	Approved	03/31/2022
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 Representative	Approved	04/15/2020
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	04/15/2020
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 Representative	Approved	04/15/2020
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	04/15/2020
B	NYSE American LLC	General Securities Representative	Approved	07/12/2011
B	NYSE American LLC	Securities Manager	Approved	06/27/2017
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/14/2015
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	05/14/2015



Qualifications

Regulator	Registration	Status	Date
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 Texas, Inc.	General Securities Representative	Approved	05/14/2015
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/15/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	08/28/2013
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	08/28/2013
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 Representative	Approved	05/14/2015
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
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 Representative	Approved	11/18/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/18/2011
B Nasdaq Stock Market	General Securities Representative	Approved	04/21/2008
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/19/2009
B New York Stock Exchange	General Securities Representative	Approved	04/21/2008
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	Securities Manager	Approved	03/31/2022



Qualifications

Regulator	Registration	Status	Date
B Alabama	Agent	Approved	02/17/2015
B Alaska	Agent	Approved	02/17/2015
B Arizona	Agent	Approved	02/17/2015
B Arkansas	Agent	Approved	02/17/2015
B California	Agent	Approved	02/17/2015
B Colorado	Agent	Approved	02/17/2015
B Connecticut	Agent	Approved	02/17/2015
B Delaware	Agent	Approved	02/17/2015
B District of Columbia	Agent	Approved	02/17/2015
B Florida	Agent	Approved	02/17/2015
B Georgia	Agent	Approved	02/17/2015
B Hawaii	Agent	Approved	02/17/2015
B Idaho	Agent	Approved	02/17/2015
B Illinois	Agent	Approved	02/17/2015
B Indiana	Agent	Approved	02/17/2015
B Iowa	Agent	Approved	02/17/2015
B Kansas	Agent	Approved	02/17/2015
B Kentucky	Agent	Approved	02/17/2015
B Louisiana	Agent	Approved	02/17/2015



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	02/17/2015
B	Maryland	Agent	Approved	02/17/2015
B	Massachusetts	Agent	Approved	02/17/2015
B	Michigan	Agent	Approved	02/17/2015
B	Minnesota	Agent	Approved	02/17/2015
B	Mississippi	Agent	Approved	02/17/2015
B	Missouri	Agent	Approved	02/17/2015
B	Montana	Agent	Approved	02/17/2015
B	Nebraska	Agent	Approved	02/17/2015
B	Nevada	Agent	Approved	02/17/2015
B	New Hampshire	Agent	Approved	02/17/2015
B	New Jersey	Agent	Approved	04/23/2012
B	New Mexico	Agent	Approved	02/17/2015
B	New York	Agent	Approved	04/23/2012
B	North Carolina	Agent	Approved	02/18/2015
B	North Dakota	Agent	Approved	02/17/2015
B	Ohio	Agent	Approved	02/17/2015
B	Oklahoma	Agent	Approved	02/17/2015
B	Oregon	Agent	Approved	02/17/2015



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	02/17/2015
B Puerto Rico	Agent	Approved	02/17/2015
B Rhode Island	Agent	Approved	02/17/2015
B South Carolina	Agent	Approved	02/17/2015
IA South Carolina	Investment Adviser Representative	Approved	04/04/2022
B South Dakota	Agent	Approved	02/17/2015
B Tennessee	Agent	Approved	02/17/2015
B Texas	Agent	Approved	02/17/2015
B Utah	Agent	Approved	02/17/2015
B Vermont	Agent	Approved	02/17/2015
B Virgin Islands	Agent	Approved	02/17/2015
B Virginia	Agent	Approved	02/17/2015
B Washington	Agent	Approved	02/17/2015
B West Virginia	Agent	Approved	02/17/2015
B Wisconsin	Agent	Approved	02/17/2015
B Wyoming	Agent	Approved	02/17/2015

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
Fort Mill, SC

CITIGROUP GLOBAL MARKETS INC.
Fort Mill, SC





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, 2 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/17/2009
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/20/2009

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/20/2008

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	04/20/2012

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	04/23/2012 - 03/31/2022	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	Fort Mill, SC

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
08/2006 - Present	CITIGROUP GLOBAL MARKETS, INC.	BRANCH MANAGER'S ASSISTANT	Y	LONG ISLAND CITY, 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.



End of Report

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