



IAPD Report

DANIEL RODRIGUEZ ORTIZ

CRD# 5754781

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 14
Registration and Employment History	16 - 17



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

DANIEL RODRIGUEZ ORTIZ (CRD# 5754781)

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 **11/27/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	09/24/2018
B	CITI PRIVATE ALTERNATIVES, LLC	CRD# 153777	09/24/2018
IA	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	10/01/2018

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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	ST. PETERSBURG, FL	08/09/2016 - 09/18/2018
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST PETERSBURG, FL	07/14/2016 - 09/18/2018
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	05/14/2015 - 05/25/2016

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 2

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**

Main Address: 388 GREENWICH STREET
NEW YORK, NY 10013

Firm ID#: 7059

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	11/04/2024
B	BOX Exchange LLC	General Securities Representative	Approved	11/04/2024
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	11/04/2024
B	BOX Exchange LLC	Registered Options Principal	Approved	11/04/2024
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/24/2018
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/24/2018
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/24/2018
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/24/2018
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	09/24/2018
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	11/04/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/04/2024
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/04/2024
B	Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	11/04/2024



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	09/24/2018
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/24/2018
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	09/24/2018
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/24/2018
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	09/24/2018
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/24/2018
B Cboe Exchange, Inc.	Registered Options Principal	Approved	09/24/2018
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B Cboe Exchange, Inc.	General Securities Principal	Approved	11/04/2024
B FINRA	General Securities Principal	Approved	09/24/2018
B FINRA	General Securities Representative	Approved	09/24/2018
B FINRA	Invest. Co and Variable Contracts	Approved	09/24/2018
B FINRA	Registered Options Principal	Approved	09/24/2018
B FINRA	General Securities Sales Supervisor	Approved	11/26/2018
B Investors' Exchange LLC	General Securities Principal	Approved	09/24/2018
B Investors' Exchange LLC	General Securities Representative	Approved	09/24/2018
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/04/2024



Qualifications

Regulator	Registration	Status	Date
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/04/2024
B MEMX LLC	General Securities Principal	Approved	11/04/2024
B MEMX LLC	General Securities Representative	Approved	11/04/2024
B MEMX LLC	General Securities Sales Supervisor	Approved	11/04/2024
B MEMX LLC	Registered Options Principal	Approved	11/04/2024
B MIAX Emerald, LLC	General Securities Principal	Approved	11/04/2024
B MIAX Emerald, LLC	General Securities Representative	Approved	11/04/2024
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	11/04/2024
B MIAX Emerald, LLC	Registered Options Principal	Approved	11/04/2024
B MIAX PEARL, LLC	General Securities Principal	Approved	11/04/2024
B MIAX PEARL, LLC	General Securities Representative	Approved	11/04/2024
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/04/2024
B MIAX PEARL, LLC	Registered Options Principal	Approved	11/04/2024
B MIAX Sapphire	General Securities Principal	Approved	11/04/2024
B MIAX Sapphire	General Securities Representative	Approved	11/04/2024
B MIAX Sapphire	General Securities Sales Supervisor	Approved	11/04/2024
B MIAX Sapphire	Registered Options Principal	Approved	11/04/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	11/04/2024



Qualifications

Regulator	Registration	Status	Date
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/04/2024
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	11/04/2024
B Miami International Securities Exchange, LLC	Registered Options Principal	Approved	11/04/2024
B NYSE American LLC	General Securities Principal	Approved	09/24/2018
B NYSE American LLC	General Securities Representative	Approved	09/24/2018
B NYSE American LLC	Registered Options Principal	Approved	09/24/2018
B NYSE American LLC	General Securities Sales Supervisor	Approved	11/26/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	09/24/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	09/24/2018
B NYSE Arca, Inc.	Registered Options Principal	Approved	09/24/2018
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B NYSE National, Inc.	General Securities Principal	Approved	09/24/2018
B NYSE National, Inc.	General Securities Representative	Approved	09/24/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B NYSE Texas, Inc.	General Securities Principal	Approved	09/24/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	09/24/2018
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/04/2024
B Nasdaq BX, Inc.	General Securities Principal	Approved	09/24/2018



Qualifications

Regulator	Registration	Status	Date
B Nasdaq BX, Inc.	General Securities Representative	Approved	09/24/2018
B Nasdaq BX, Inc.	Registered Options Principal	Approved	09/24/2018
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	11/26/2018
B Nasdaq GEMX, LLC	General Securities Principal	Approved	11/04/2024
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/04/2024
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/04/2024
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	11/04/2024
B Nasdaq ISE, LLC	General Securities Principal	Approved	09/24/2018
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/24/2018
B Nasdaq ISE, LLC	Registered Options Principal	Approved	09/24/2018
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/26/2018
B Nasdaq MRX, LLC	General Securities Principal	Approved	11/04/2024
B Nasdaq MRX, LLC	General Securities Representative	Approved	11/04/2024
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	11/04/2024
B Nasdaq MRX, LLC	Registered Options Principal	Approved	11/04/2024
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/24/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/24/2018
B Nasdaq PHLX LLC	Registered Options Principal	Approved	09/24/2018
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/26/2018



Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Principal	Approved	09/24/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	09/24/2018
B	Nasdaq Stock Market	Registered Options Principal	Approved	09/24/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/26/2018
B	New York Stock Exchange	General Securities Principal	Approved	09/24/2018
B	New York Stock Exchange	General Securities Representative	Approved	09/24/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	11/26/2018
B	Alabama	Agent	Approved	11/01/2018
B	Alaska	Agent	Approved	11/01/2018
B	Arizona	Agent	Approved	11/01/2018
B	Arkansas	Agent	Approved	11/01/2018
B	California	Agent	Approved	11/01/2018
B	Colorado	Agent	Approved	11/01/2018
B	Connecticut	Agent	Approved	11/01/2018
B	Delaware	Agent	Approved	11/01/2018
B	District of Columbia	Agent	Approved	11/01/2018
B	Florida	Agent	Approved	09/24/2018
IA	Florida	Investment Adviser Representative	Approved	10/01/2018
B	Georgia	Agent	Approved	11/01/2018



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	11/01/2018
B	Idaho	Agent	Approved	11/01/2018
B	Illinois	Agent	Approved	11/01/2018
B	Indiana	Agent	Approved	11/01/2018
B	Iowa	Agent	Approved	11/01/2018
B	Kansas	Agent	Approved	11/01/2018
B	Kentucky	Agent	Approved	11/01/2018
B	Louisiana	Agent	Approved	11/01/2018
B	Maine	Agent	Approved	11/01/2018
B	Maryland	Agent	Approved	11/01/2018
B	Massachusetts	Agent	Approved	11/01/2018
B	Michigan	Agent	Approved	11/01/2018
B	Minnesota	Agent	Approved	11/01/2018
B	Mississippi	Agent	Approved	11/01/2018
B	Missouri	Agent	Approved	11/01/2018
B	Montana	Agent	Approved	11/01/2018
B	Nebraska	Agent	Approved	11/01/2018
B	Nevada	Agent	Approved	11/01/2018
B	New Hampshire	Agent	Approved	11/01/2018



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	11/01/2018
B New Mexico	Agent	Approved	11/01/2018
B New York	Agent	Approved	11/01/2018
B North Carolina	Agent	Approved	11/01/2018
B North Dakota	Agent	Approved	11/01/2018
B Ohio	Agent	Approved	11/02/2018
B Oklahoma	Agent	Approved	11/01/2018
B Oregon	Agent	Approved	11/01/2018
B Pennsylvania	Agent	Approved	11/01/2018
B Puerto Rico	Agent	Approved	11/01/2018
B Rhode Island	Agent	Approved	11/01/2018
B South Carolina	Agent	Approved	11/01/2018
B South Dakota	Agent	Approved	11/01/2018
B Tennessee	Agent	Approved	11/01/2018
B Texas	Agent	Approved	11/01/2018
B Utah	Agent	Approved	11/01/2018
B Vermont	Agent	Approved	11/01/2018
B Virgin Islands	Agent	Approved	11/01/2018



Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	11/01/2018
B	Washington	Agent	Approved	11/01/2018
B	West Virginia	Agent	Approved	11/01/2018
B	Wisconsin	Agent	Approved	11/01/2018
B	Wyoming	Agent	Approved	11/01/2018

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
CITI PRIVATE BANK
3800 CITIGROUP CENTER DRIVE
TAMPA, FL 33610-9122

CITIGROUP GLOBAL MARKETS INC.
Oldsmar, FL

Employment 2 of 2

Firm Name: **CITI PRIVATE ALTERNATIVES, LLC**
Main Address: 388 GREENWICH STREET
29TH FLOOR
NEW YORK, NY 10013
Firm ID#: 153777

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/24/2018
B	FINRA	General Securities Representative	Approved	09/24/2018
B	FINRA	Registered Options Principal	Approved	09/24/2018
B	Alabama	Agent	Approved	11/01/2018
B	Alaska	Agent	Approved	11/21/2018
B	Arizona	Agent	Approved	11/01/2018
B	Arkansas	Agent	Approved	11/01/2018



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	11/01/2018
B	Colorado	Agent	Approved	11/01/2018
B	Connecticut	Agent	Approved	11/01/2018
B	Delaware	Agent	Approved	11/01/2018
B	District of Columbia	Agent	Approved	11/01/2018
B	Florida	Agent	Approved	09/24/2018
B	Georgia	Agent	Approved	11/01/2018
B	Hawaii	Agent	Approved	11/01/2018
B	Idaho	Agent	Approved	11/01/2018
B	Illinois	Agent	Approved	11/01/2018
B	Indiana	Agent	Approved	11/26/2018
B	Iowa	Agent	Approved	11/01/2018
B	Kansas	Agent	Approved	11/01/2018
B	Kentucky	Agent	Approved	11/01/2018
B	Louisiana	Agent	Approved	11/01/2018
B	Maine	Agent	Approved	11/01/2018
B	Maryland	Agent	Approved	11/01/2018
B	Massachusetts	Agent	Approved	11/27/2018
B	Michigan	Agent	Approved	11/01/2018



Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	11/01/2018
B	Mississippi	Agent	Approved	11/01/2018
B	Missouri	Agent	Approved	11/01/2018
B	Montana	Agent	Approved	11/01/2018
B	Nebraska	Agent	Approved	01/27/2022
B	New Hampshire	Agent	Approved	11/01/2018
B	New Jersey	Agent	Approved	11/01/2018
B	New Mexico	Agent	Approved	11/01/2018
B	New York	Agent	Approved	11/01/2018
B	North Dakota	Agent	Approved	11/01/2018
B	Ohio	Agent	Approved	11/02/2018
B	Oklahoma	Agent	Approved	11/01/2018
B	Oregon	Agent	Approved	11/26/2018
B	Pennsylvania	Agent	Approved	11/27/2018
B	Puerto Rico	Agent	Approved	11/01/2018
B	Rhode Island	Agent	Approved	11/01/2018
B	South Carolina	Agent	Approved	11/01/2018
B	South Dakota	Agent	Approved	11/01/2018
B	Tennessee	Agent	Approved	11/01/2018



Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	11/01/2018
B	Utah	Agent	Approved	11/26/2018
B	Vermont	Agent	Approved	11/01/2018
B	Virgin Islands	Agent	Approved	11/01/2018
B	Virginia	Agent	Approved	11/29/2018
B	Washington	Agent	Approved	11/01/2018
B	West Virginia	Agent	Approved	12/06/2018
B	Wisconsin	Agent	Approved	11/01/2018
B	Wyoming	Agent	Approved	11/01/2018

Branch Office Locations

CITI PRIVATE ADVISORY, LLC
CITI PRIVATE BANK
3800 CITIGROUP CENTER DRIVE
TAMPA, FL 33610

CITI PRIVATE ADVISORY, LLC
Oldsmar, FL







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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/26/2018
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/02/2018
	Registered Options Principal Examination (S4)	Series 4	11/18/2014
	General Securities Principal Examination (S24)	Series 24	10/16/2012

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	National Commodity Futures Examination (S3)	Series 3	08/05/2019
	Futures Managed Funds Examination (S31)	Series 31	10/10/2018
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/28/2012

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	12/05/2012



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	08/09/2016 - 09/18/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	ST. PETERSBURG, FL
B	07/14/2016 - 09/18/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST PETERSBURG, FL
IA	05/14/2015 - 05/25/2016	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	05/11/2015 - 05/25/2016	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	01/07/2015 - 05/04/2015	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	01/05/2015 - 05/04/2015	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
IA	01/29/2013 - 12/26/2014	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	ST. PETERSBURG, FL
B	08/29/2012 - 12/26/2014	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST PETERSBURG, FL

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
09/2018 - Present	CITIGROUP	SUPERVISORY PRINCIPAL	Y	TAMPA, FL, United States
08/2016 - 09/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	ST. PETERSBURG, FL, United States
07/2016 - 09/2018	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	ST. PETERSBURG, FL, United States
06/2015 - 02/2017	BEST BUY	STOCK BOY	N	CLEARWATER, FL, United States
05/2015 - 06/2016	RAYMOND JAMES AND ASSOCIATES	COMPLIANCE ADVISOR	Y	ST. PETERSBURG, FL, United States



Registration & Employment History



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.

Best Buy; Retail - Electronics; Not investment-related; Clearwater, FL; Affiliation started 09/28/2019; Title: Inventory; Duties: Unloading trucks in the warehouse a couple times a week, during the evening/late night; No time is devoted during securities trading hours; 50 hours are devoted to the business each month outside of securities trading hours.



End of Report

This page is intentionally left blank.