



## IAPD Report

# CHARLOTTE HUANG

CRD# 6934065

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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

### CHARLOTTE HUANG (CRD# 6934065)

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 **05/14/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	11/10/2022
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	11/10/2022

### QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and **5** 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>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	ARCADIA, CA	02/08/2022 - 11/10/2022
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	ARCADIA, CA	12/14/2021 - 11/10/2022
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	ALHAMBRA, CA	07/05/2018 - 05/26/2021

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 5 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	BOX Exchange LLC	General Securities Representative	Approved	11/10/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	FINRA	General Securities Representative	Approved	11/10/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	11/10/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	11/10/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/10/2022
B	MEMX LLC	General Securities Representative	Approved	11/10/2022
B	MIAX Emerald, LLC	General Securities Representative	Approved	11/10/2022



## Qualifications

	Regulator	Registration	Status	Date
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/10/2022
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/10/2022
B	NYSE American LLC	General Securities Representative	Approved	11/10/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/10/2022
B	NYSE National, Inc.	General Securities Representative	Approved	11/10/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/10/2022
B	Nasdaq BX, Inc.	General Securities Representative	Approved	11/10/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/10/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/10/2022
B	Nasdaq MRX, LLC	General Securities Representative	Approved	11/10/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/10/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	11/10/2022
B	New York Stock Exchange	General Securities Representative	Approved	11/10/2022
B	California	Agent	Approved	11/10/2022
IA	California	Investment Adviser Representative	Approved	11/10/2022
B	Florida	Agent	Approved	05/14/2024
B	Oregon	Agent	Approved	03/03/2023



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	11/06/2023
<b>B</b> Washington	Agent	Approved	07/07/2023

## Branch Office Locations

### CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales  
9001 Valley Blvd.  
Rosemead, CA 91770

### CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales  
285 S. Lake Ave  
Pasadena, CA 91101

### CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales  
177 E Colorado Blvd.  
Pasadena, CA 91105

### CITIGROUP GLOBAL MARKETS INC.

CWM Retail, Sales  
401 E. Arrow Hwy  
Glendora, CA 91740



## 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, 3 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
<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	12/14/2021
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/05/2018

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	02/08/2022
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	07/16/2018



### 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	02/08/2022 - 11/10/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ARCADIA, CA
B	12/14/2021 - 11/10/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ARCADIA, CA
B	07/05/2018 - 05/26/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ALHAMBRA, 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
11/2022 - Present	Citigroup	Wealth Relationship Manager	Y	Arcadia, CA, United States
10/2021 - 10/2022	WELLS FARGO BANK	RELATIONSHIP BANKER	Y	ARCADIA, CA, United States
07/2013 - 10/2021	WELLS FARGO BANK	PERSONAL BANKER	N	ALHAMBRA, CA, 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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