

Owners and Executive Officers

The owners/officers listed below are reported on your firm's Form BD. The displayed information is current as of the previous day. If it is no longer accurate, your firm should amend your Form BD through Web CRD. [Click here to amend Form BD](#)

Full Legal Name	Title or Status	Title or Status Acquired	Percent Ownership	Control Person	Public Reporting Company
Individual					
<u>FLOOD, SCOTT LEROY</u>	CO-GENERAL COUNSEL	04/01/2013	Less than 5%	Yes	No
<u>PLATT, DANA LYNN</u>	CHIEF COMPLIANCE OFFICER - INVESTMENT ADVISORY BUSINESSES	03/01/2013	Less than 5%	Yes	No
<u>MESHEL, ADAM REID</u>	CO-GENERAL COUNSEL	04/01/2013	Less than 5%	Yes	No
<u>TROMBETTA, SANTO VITO</u>	PRINCIPAL OPERATIONS OFFICERS (FINOP)	07/01/2015	Less than 5%	Yes	No
<u>ARNOLD, EDWARD RAYMOND</u>	CHIEF COMPLIANCE OFFICER - EQUITIES AND EQUITIES DERIVATIVES	10/01/2016	Less than 5%	Yes	No
<u>PALOMAKI, DANIEL SCOTT</u>	PRINCIPAL FINANCIAL OFFICER	12/01/2017	Less than 5%	Yes	No
<u>YARBROUGH, TED KIRK</u>	DIRECTOR	05/01/2018	Less than 5%	Yes	No
<u>CUMMINGS, JOHN W</u>	DIRECTOR	05/01/2018	Less than 5%	Yes	No
<u>LEACH, JONATHAN</u>	DIRECTOR	05/01/2018	Less than 5%	Yes	No
<u>KEEGAN, DANIEL LAURENCE</u>	DIRECTOR	05/01/2018	Less than 5%	Yes	No
<u>KEEGAN, DANIEL LAURENCE</u>	CEO/CHAIRMAN/PRESIDENT	07/01/2018	Less than 5%	Yes	No
<u>KURSMAN, SCOTT CHARLES</u>	CHIEF COMPLIANCE OFFICER	06/01/2019	Less than 5%	Yes	No
<u>DUNN, DEIRDRE KATHLEEN</u>	DIRECTOR	09/01/2019	Less than 5%	Yes	No
Domestic Entity					
CITIGROUP FINANCIAL PRODUCTS INC.	100% SHAREHOLDER	09/01/1998	75% or more	Yes	No
Foreign Entity					
No Information Available.					