

BrokerCheck Report

GLEN SANTANGELO

CRD# 2776058

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



GLEN SANTANGELO

CRD# 2776058

Currently employed by and registered with the following Firm(s):

B BARCLAYS CAPITAL INC.
745 7TH AVENUE
NEW YORK, NY 10019
CRD# 19714
Registered with this firm since: 09/12/2025

B JEFFERIES LLC
520 MADISON AVENUE
NEW YORK, NY 10022
CRD# 2347
Registered with this firm since: 09/08/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 26 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B GUGGENHEIM SECURITIES, LLC**
CRD# 40638
NEW YORK, NY
01/2019 - 09/2021
- B DEUTSCHE BANK SECURITIES INC.**
CRD# 2525
NEW YORK, NY
07/2017 - 01/2019
- B CREDIT SUISSE SECURITIES (USA) LLC**
CRD# 816
NEW YORK, NY
04/2005 - 08/2017

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 26 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **BARCLAYS CAPITAL INC.**

Main Office Address: **745 7TH AVENUE
NEW YORK, NY 10019**

Firm CRD#: **19714**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	09/12/2025
B	BOX Exchange LLC	General Securities Representative	Approved	09/12/2025
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	Cboe Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	FINRA	General Securities Principal	Approved	09/12/2025

Broker Qualifications



Employment 1 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/12/2025
B	FINRA	Research Analyst	Approved	09/12/2025
B	Investors' Exchange LLC	General Securities Principal	Approved	09/12/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	09/12/2025
B	Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	09/12/2025
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	09/12/2025
B	MEMX LLC	General Securities Principal	Approved	09/12/2025
B	MEMX LLC	General Securities Representative	Approved	09/12/2025
B	MIAX Emerald, LLC	General Securities Principal	Approved	09/12/2025
B	MIAX Emerald, LLC	General Securities Representative	Approved	09/12/2025
B	MIAX PEARL, LLC	General Securities Principal	Approved	09/12/2025
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/12/2025
B	MIAX Sapphire	General Securities Principal	Approved	09/12/2025
B	MIAX Sapphire	General Securities Representative	Approved	09/12/2025
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	09/12/2025
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/12/2025
B	NYSE American LLC	General Securities Principal	Approved	09/12/2025
B	NYSE American LLC	General Securities Representative	Approved	09/12/2025
B	NYSE American LLC	Research Analyst	Approved	09/12/2025
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/12/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/12/2025

Broker Qualifications



Employment 1 of 2, continued

SRO	Category	Status	Date
B NYSE National, Inc.	General Securities Principal	Approved	09/12/2025
B NYSE National, Inc.	General Securities Representative	Approved	09/12/2025
B NYSE Texas, Inc.	General Securities Principal	Approved	09/12/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	09/12/2025
B Nasdaq BX, Inc.	General Securities Principal	Approved	09/12/2025
B Nasdaq BX, Inc.	General Securities Representative	Approved	09/12/2025
B Nasdaq GEMX, LLC	General Securities Principal	Approved	09/12/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	09/12/2025
B Nasdaq ISE, LLC	General Securities Principal	Approved	09/12/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/12/2025
B Nasdaq MRX, LLC	General Securities Principal	Approved	09/12/2025
B Nasdaq MRX, LLC	General Securities Representative	Approved	09/12/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/12/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/12/2025
B Nasdaq Stock Market	General Securities Principal	Approved	09/12/2025
B Nasdaq Stock Market	General Securities Representative	Approved	09/12/2025
B New York Stock Exchange	General Securities Principal	Approved	09/12/2025
B New York Stock Exchange	General Securities Representative	Approved	09/12/2025
B New York Stock Exchange	Research Analyst	Approved	09/12/2025

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/12/2025

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/12/2025
B	Arizona	Agent	Approved	09/12/2025
B	Arkansas	Agent	Approved	09/12/2025
B	California	Agent	Approved	09/12/2025
B	Colorado	Agent	Approved	09/12/2025
B	Connecticut	Agent	Approved	09/12/2025
B	Delaware	Agent	Approved	09/12/2025
B	District of Columbia	Agent	Approved	09/12/2025
B	Florida	Agent	Approved	09/15/2025
B	Georgia	Agent	Approved	09/12/2025
B	Hawaii	Agent	Approved	09/12/2025
B	Idaho	Agent	Approved	09/12/2025
B	Illinois	Agent	Approved	09/12/2025
B	Indiana	Agent	Approved	09/12/2025
B	Iowa	Agent	Approved	09/12/2025
B	Kansas	Agent	Approved	09/12/2025
B	Kentucky	Agent	Approved	09/12/2025
B	Louisiana	Agent	Approved	09/12/2025
B	Maine	Agent	Approved	09/12/2025
B	Maryland	Agent	Approved	09/12/2025
B	Massachusetts	Agent	Approved	09/12/2025

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	09/12/2025
B	Minnesota	Agent	Approved	09/12/2025
B	Mississippi	Agent	Approved	09/12/2025
B	Missouri	Agent	Approved	09/12/2025
B	Montana	Agent	Approved	09/12/2025
B	Nebraska	Agent	Approved	09/12/2025
B	Nevada	Agent	Approved	09/12/2025
B	New Hampshire	Agent	Approved	09/12/2025
B	New Jersey	Agent	Approved	09/12/2025
B	New Mexico	Agent	Approved	09/12/2025
B	New York	Agent	Approved	09/12/2025
B	North Dakota	Agent	Approved	09/12/2025
B	Ohio	Agent	Approved	09/12/2025
B	Oklahoma	Agent	Approved	09/12/2025
B	Oregon	Agent	Approved	09/12/2025
B	Pennsylvania	Agent	Approved	09/12/2025
B	Puerto Rico	Agent	Approved	09/12/2025
B	Rhode Island	Agent	Approved	09/12/2025
B	South Carolina	Agent	Approved	09/12/2025
B	South Dakota	Agent	Approved	09/12/2025
B	Tennessee	Agent	Temporary Registration	09/12/2025



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	09/12/2025
B	Utah	Agent	Approved	09/12/2025
B	Vermont	Agent	Approved	09/12/2025
B	Virgin Islands	Agent	Approved	09/12/2025
B	Virginia	Agent	Approved	09/12/2025
B	Washington	Agent	Approved	09/12/2025
B	West Virginia	Agent	Approved	09/12/2025
B	Wisconsin	Agent	Approved	09/12/2025
B	Wyoming	Agent	Approved	09/12/2025

Branch Office Locations

BARCLAYS CAPITAL INC.
 745 7TH AVENUE
 NEW YORK, NY 10019

Employment 2 of 2

Firm Name: **JEFFERIES LLC**
 Main Office Address: **520 MADISON AVENUE**
NEW YORK, NY 10022
 Firm CRD#: **2347**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	09/08/2021
B	BOX Exchange LLC	General Securities Representative	Approved	09/08/2021
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	09/08/2021



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B FINRA	General Securities Principal	Approved	09/08/2021
B FINRA	General Securities Representative	Approved	09/08/2021
B FINRA	Research Analyst	Approved	09/08/2021
B Investors' Exchange LLC	General Securities Principal	Approved	09/08/2021
B Investors' Exchange LLC	General Securities Representative	Approved	09/08/2021
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	09/08/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	09/08/2021
B MEMX LLC	General Securities Principal	Approved	09/08/2021
B MEMX LLC	General Securities Representative	Approved	09/08/2021
B MIAX Emerald, LLC	General Securities Principal	Approved	09/08/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	09/08/2021

Broker Qualifications



Employment 2 of 2, continued

	SRO	Category	Status	Date
B	MIAX PEARL, LLC	General Securities Principal	Approved	09/08/2021
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/08/2021
B	MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	09/08/2021
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/08/2021
B	NYSE American LLC	General Securities Principal	Approved	09/08/2021
B	NYSE American LLC	General Securities Representative	Approved	09/08/2021
B	NYSE American LLC	Research Analyst	Approved	09/08/2021
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/08/2021
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/08/2021
B	NYSE National, Inc.	General Securities Principal	Approved	09/08/2021
B	NYSE National, Inc.	General Securities Representative	Approved	09/08/2021
B	NYSE Texas, Inc.	General Securities Principal	Approved	09/08/2021
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/08/2021
B	Nasdaq BX, Inc.	General Securities Principal	Approved	09/08/2021
B	Nasdaq BX, Inc.	General Securities Representative	Approved	09/08/2021
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	09/08/2021
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/08/2021
B	Nasdaq ISE, LLC	General Securities Principal	Approved	09/08/2021
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/08/2021

Broker Qualifications



Employment 2 of 2, continued

SRO	Category	Status	Date
B Nasdaq MRX, LLC	General Securities Principal	Approved	09/08/2021
B Nasdaq MRX, LLC	General Securities Representative	Approved	09/08/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/08/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/08/2021
B Nasdaq Stock Market	General Securities Principal	Approved	09/08/2021
B Nasdaq Stock Market	General Securities Representative	Approved	09/08/2021
B New York Stock Exchange	General Securities Principal	Approved	09/08/2021
B New York Stock Exchange	General Securities Representative	Approved	09/08/2021
B New York Stock Exchange	Research Analyst	Approved	09/08/2021

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/09/2021
B Alaska	Agent	Approved	09/16/2021
B Arizona	Agent	Approved	09/14/2021
B Arkansas	Agent	Approved	12/13/2021
B California	Agent	Approved	09/08/2021
B Colorado	Agent	Approved	09/08/2021
B Connecticut	Agent	Approved	09/08/2021
B Delaware	Agent	Approved	09/08/2021
B District of Columbia	Agent	Approved	09/10/2021
B Florida	Agent	Approved	09/13/2021
B Georgia	Agent	Approved	09/08/2021

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	09/09/2021
B	Idaho	Agent	Approved	09/10/2021
B	Illinois	Agent	Approved	09/08/2021
B	Indiana	Agent	Approved	09/08/2021
B	Iowa	Agent	Approved	09/08/2021
B	Kansas	Agent	Approved	09/08/2021
B	Kentucky	Agent	Approved	09/10/2021
B	Louisiana	Agent	Approved	09/14/2021
B	Maine	Agent	Approved	09/09/2021
B	Maryland	Agent	Approved	09/08/2021
B	Massachusetts	Agent	Approved	09/08/2021
B	Michigan	Agent	Approved	09/10/2021
B	Minnesota	Agent	Approved	09/08/2021
B	Mississippi	Agent	Approved	09/10/2021
B	Missouri	Agent	Approved	09/08/2021
B	Montana	Agent	Approved	09/08/2021
B	Nebraska	Agent	Approved	09/09/2021
B	Nevada	Agent	Approved	09/16/2021
B	New Hampshire	Agent	Approved	09/29/2021
B	New Jersey	Agent	Approved	09/08/2021
B	New Mexico	Agent	Approved	09/08/2021

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	09/08/2021
B	North Carolina	Agent	Approved	09/10/2021
B	North Dakota	Agent	Approved	09/13/2021
B	Ohio	Agent	Approved	09/08/2021
B	Oklahoma	Agent	Approved	09/14/2021
B	Oregon	Agent	Approved	09/15/2021
B	Pennsylvania	Agent	Approved	09/08/2021
B	Puerto Rico	Agent	Approved	09/08/2021
B	Rhode Island	Agent	Approved	09/08/2021
B	South Carolina	Agent	Approved	09/08/2021
B	South Dakota	Agent	Approved	09/14/2021
B	Tennessee	Agent	Approved	09/10/2021
B	Texas	Agent	Approved	09/08/2021
B	Utah	Agent	Approved	09/08/2021
B	Vermont	Agent	Approved	09/09/2021
B	Virgin Islands	Agent	Approved	08/25/2023
B	Virginia	Agent	Approved	09/27/2021
B	Washington	Agent	Approved	09/08/2021
B	West Virginia	Agent	Approved	09/21/2021
B	Wisconsin	Agent	Approved	09/08/2021
B	Wyoming	Agent	Approved	09/13/2021

Broker Qualifications



Employment 2 of 2, continued

Branch Office Locations

JEFFERIES LLC
520 MADISON AVENUE
NEW YORK, NY 10022



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/14/2015

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Research Analyst Exam - Part II Regulations Module	Series 87	10/14/2004
B Research Analyst Exam - Part I Analysis Module	Series 86	10/11/2004
B General Securities Representative Examination	Series 7	09/03/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/19/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2019 - 09/2021	GUGGENHEIM SECURITIES, LLC	40638	NEW YORK, NY
B 07/2017 - 01/2019	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
B 04/2005 - 08/2017	CREDIT SUISSE SECURITIES (USA) LLC	816	NEW YORK, NY
B 11/2004 - 04/2005	JEFFERIES & COMPANY, INC.	2347	NEW YORK, NY
B 08/2003 - 11/2004	SOUNDVIEW TECHNOLOGY CORPORATION	15425	OLD GREENWICH, CT
B 05/2004 - 08/2004	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX
B 04/1999 - 07/2003	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 05/1997 - 04/1999	GOLDMAN, SACHS & CO.	361	NEW YORK, NY
B 09/1996 - 05/1997	J.P. MORGAN SECURITIES INC.	15733	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	Barclays Capital Inc	MD	Y	New York, NY, United States
09/2021 - 09/2025	JEFFERIES LLC	Managing Director	Y	New York, NY, United States
09/2021 - 09/2025	Jefferies Research Services LLC	Managing Director	Y	New York, NY, United States
01/2019 - 09/2021	Guggenheim Securities, LLC	Senior Managing Director	Y	NEW YORK, NY, United States
07/2017 - 01/2019	Deutsche Bank	Managing Director	Y	New York, NY, United States
04/2005 - 07/2017	CREDIT SUISSE FIRST BOSTON LLC	Managing Director	Y	NEW YORK, NY, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	08/19/2005
Docket/Case Number:	E102003169001
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP GLOBAL MARKETS INC. F/K/A SALOMON SMITH BARNEY INC.
Product Type:	
Allegations:	NASD RULES 2110, 2210(B)(1) - RESPONDENT DISSEMINATED, BY EMAIL, MATERIAL CONFIDENTIAL AND NON-PUBLIC INFORMATION TO DIFFERENT INSTITUTIONAL CUSTOMERS CONCERNING STOCK PREFERENCES AND TRADING FOR OTHER LARGE INSTITUTIONAL CUSTOMERS. THE FINDINGS STATED THAT SANTANGELO IMPROPERLY DISSEMINATED, BY EMAIL, DRAFT RESEARCH REPORTS TO INSTITUTIONAL CUSTOMERS WITHOUT THE PRIOR APPROVAL OF A REGISTERED PRINCIPAL OF HIS MEMBER FIRM.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/19/2005

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, SANTANGELO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 BUSINESS DAYS AND FINED \$50,000. THE SUSPENSION WILL BEGIN SEPTEMBER 6, 2005 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS NOVEMBER 29, 2005. FINES PAID.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 08/19/2005

Docket/Case Number: E1020031690-01

Employing firm when activity occurred which led to the regulatory action: CITIGROUP GLOBAL MARKETS INC. F/K/A SALOMON SMITH BARNEY INC.

Product Type: Other

Other Product Type(s):

Allegations: ALLEGATIONS INCLUDED VIOLATION OF NASD RULES 2110, 2210(B)(1) - RESPONDENT DISSEMINATED, BY EMAIL, MATERIAL CONFIDENTIAL AND NON-PUBLIC INFORMATION TO DIFFERENT INSTITUTIONAL CUSTOMERS CONCERNING STOCK PREFERENCES AND TRADING FOR OTHER LARGE INSTITUTIONAL CUSTOMERS. THE FINDINGS STATED THAT HE IMPROPERLY DISSEMINATED, BY EMAIL, DRAFT RESEARCH REPORTS TO INSTITUTIONAL CUSTOMERS WITHOUT THE PRIOR APPROVAL OF A



REGISTERED PRINCIPAL OF HIS MEMBER FIRM. MR. SANTANGELO SETTLED THIS MATTER WITH THE NASD WITHOUT ADMITTING OR DENYING THE CHARGE.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/19/2005
Sanctions Ordered:	Monetary/Fine \$50,000.00 Suspension
Other Sanctions Ordered:	IN CONNECTION WITH HIS SETTLEMENT OF LETTER OF ACCEPTANCE, WAIVER AND CONSENT, NASD NO. E1020031690-01, MR. SANTANGELO WAS FINED \$50,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 BUSINESS DAYS.
Sanction Details:	MR. SANTANGELO'S SUSPENSION IS EFFECTIVE FROM SEPTEMBER 6, 2005 TO CLOSE OF BUSINESS NOVEMBER 29, 2005.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	CITIGROUP GLOBAL MARKETS INC.
Termination Type:	Discharged
Termination Date:	06/26/2003
Allegations:	MR. SANTANGELO DISTRIBUTED EXTERNALLY MATERIALS MARKED "INTERNAL USE ONLY", FIRM RESEARCH PRIOR TO APPROVAL, AND OTHER CONFIDENTIAL INFORMATION.
Product Type:	Other
Other Product Types:	RESEARCH

End of Report



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