

BrokerCheck Report

ANITA RAVANI

CRD# 6147778

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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.

**ANITA RAVANI**

CRD# 6147778

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

IA CITIGROUP GLOBAL MARKETS INC.
 Citi Wealth Management,
 Service/Operations
 81 Pier Ave
 Hermosa Beach, CA 90254
 CRD# 7059
 Registered with this firm since: 06/12/2023

B CITIGROUP GLOBAL MARKETS INC.
 Citi Wealth Management,
 Service/Operations
 81 Pier Ave
 Hermosa Beach, CA 90254
 CRD# 7059
 Registered with this firm since: 06/12/2023

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
- 22 U.S. states and territories

This broker has passed:

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

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

- IA RAYMOND JAMES & ASSOCIATES, INC.**
 CRD# 705
 ST. PETERSBURG, FL
 03/2023 - 04/2023
- B RAYMOND JAMES & ASSOCIATES, INC.**
 CRD# 705
 BEVERLY HILLS, CA
 03/2023 - 04/2023
- B D.A. DAVIDSON & CO.**
 CRD# 199
 NEWPORT BEACH, CA
 07/2022 - 03/2023

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? **No**



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 22 U.S. states and territories through his or her employer.

Employment 1 of 1

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

Main Office Address: **388 GREENWICH STREET
TOWER BUILDING
NEW YORK, NY 10013**

Firm CRD#: **7059**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	06/12/2023
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	06/12/2023
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B	FINRA	General Securities Representative	Approved	06/12/2023
B	FINRA	General Securities Sales Supervisor	Approved	06/12/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	06/12/2023

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	06/12/2023
B MEMX LLC	General Securities Representative	Approved	06/12/2023
B MEMX LLC	General Securities Sales Supervisor	Approved	06/12/2023
B MIAX Emerald, LLC	General Securities Representative	Approved	06/12/2023
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	06/12/2023
B MIAX PEARL, LLC	General Securities Representative	Approved	06/12/2023
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	06/12/2023
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	06/12/2023
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	06/12/2023
B NYSE American LLC	General Securities Representative	Approved	06/12/2023
B NYSE American LLC	General Securities Sales Supervisor	Approved	06/12/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	06/12/2023
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B NYSE National, Inc.	General Securities Representative	Approved	06/12/2023
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	06/12/2023
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/12/2023
B Nasdaq BX, Inc.	General Securities Representative	Approved	06/12/2023
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	06/12/2023

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq GEMX, LLC	General Securities Representative	Approved	06/12/2023
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	06/12/2023
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2023
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/12/2023
B Nasdaq MRX, LLC	General Securities Representative	Approved	06/12/2023
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	06/12/2023
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/12/2023
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/12/2023
B Nasdaq Stock Market	General Securities Representative	Approved	06/12/2023
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/12/2023
B New York Stock Exchange	General Securities Representative	Approved	06/12/2023
B New York Stock Exchange	General Securities Sales Supervisor	Approved	06/12/2023

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	07/24/2024
B California	Agent	Approved	06/12/2023
IA California	Investment Adviser Representative	Approved	06/12/2023
B Colorado	Agent	Approved	07/24/2024
B Connecticut	Agent	Approved	07/24/2024
B District of Columbia	Agent	Approved	07/24/2024
B Florida	Agent	Approved	07/24/2024
B Georgia	Agent	Approved	07/24/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	07/24/2024
B	Indiana	Agent	Approved	07/24/2024
B	Maryland	Agent	Approved	07/24/2024
B	Massachusetts	Agent	Approved	07/24/2024
B	Michigan	Agent	Approved	07/24/2024
B	Nevada	Agent	Approved	07/24/2024
B	New Jersey	Agent	Approved	07/24/2024
B	New York	Agent	Approved	07/24/2024
B	North Carolina	Agent	Approved	07/24/2024
B	Ohio	Agent	Approved	07/24/2024
B	Pennsylvania	Agent	Approved	07/24/2024
B	Texas	Agent	Approved	07/24/2024
B	Virginia	Agent	Approved	07/24/2024
B	Washington	Agent	Approved	07/24/2024
B	Wisconsin	Agent	Approved	07/24/2024

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.

Citi Wealth Management, Service/Operations
81 Pier Ave
Hermosa Beach, CA 90254

CITIGROUP GLOBAL MARKETS INC.

Lawndale, CA



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	11/24/2014
B General Securities Sales Supervisor - Options Module Examination	Series 9	11/03/2014

General Industry/Product Exams

Exam	Category	Date
B National Commodity Futures Examination	Series 3	09/01/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/25/2013

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/01/2013

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 03/2023 - 04/2023	RAYMOND JAMES & ASSOCIATES, INC.	705	BEVERLY HILLS, CA
IA 03/2023 - 04/2023	RAYMOND JAMES & ASSOCIATES, INC.	705	BEVERLY HILLS, CA
B 07/2022 - 03/2023	D.A. DAVIDSON & CO.	199	NEWPORT BEACH, CA
IA 07/2022 - 03/2023	D.A. DAVIDSON & CO.	199	NEWPORT BEACH, CA
B 01/2020 - 07/2022	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	LOS ANGELES, CA
IA 01/2020 - 07/2022	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	LOS ANGELES, CA
IA 03/2013 - 02/2019	MORGAN STANLEY	149777	TOLEDO, OH
B 01/2013 - 02/2019	MORGAN STANLEY	149777	TOLEDO, OH

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
05/2023 - Present	CITIGROUP GLOBAL MARKETS INC.	Southern CA Regional Service Manager	Y	Hermosa Beach, CA, United States
02/2022 - Present	California State University Los Angeles (CSULA)	Adjunct Faculty	N	Los Angeles, CA, United States
03/2023 - 04/2023	Raymond James & Associates, INC	Senior Registered Associate	Y	BEVERLY HILLS, CA, United States
07/2022 - 03/2023	DA Davidson Companies	Supervisory Branch Operations Manager	Y	Newport Beach, CA, United States
12/2019 - 06/2022	Stifel Nicolaus & Co Inc	Operations Manager	Y	Los Angeles, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2019 - 12/2019	APR LLC	CONSULTANT	N	CANOGA PARK, CA, United States
12/2012 - 02/2019	MORGAN STANLEY	FA TRAINEE	Y	WOODLAND HILLS, CA, United States

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.

(1)Name of Business: Address: 4516 W. 172nd St Unit A, Lawndale, CA, 90260, United States Activity Type: Part-Time Activity/Employment
Position/Title: Agent Investment Related: No Start Date: 03/20/2020 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: California Notary

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California State University Los Angeles (CSULA); Not Investment-related; Nature: University - job entails teaching students; Los Angeles, CA; Started: 2/7/2022; Title: Adjunct Professor ; Duties: Teaching students. Lecturing. ; No time is devoted each month during securities trading hours; 11-20 hours are devoted each month outside of securities trading hours.

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APR Investment & Management, LLC; Not Investment-related; Nature: Limited Liability company for real estate holdings and consulting; Canoga Park, CA; Started: December 15, 2009; Title: LLC Member; Duties: Real estate holdings and consulting; No time is devoted each month during securities trading hours; 0-1 hours are devoted each month outside of securities trading hours.

End of Report



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