BrokerCheck Report

GIANN PIERO CANNATA

CRD# 6327029

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.

GIANN P. CANNATA

CRD# 6327029

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

IA **CITIGROUP GLOBAL MARKETS INC.**
Citi Private Bank
201 S. Biscayne Blvd, FL 31 Ste 3100 & FL 33 Ste 3
Miami, FL 33131
CRD# 7059
Registered with this firm since: 10/02/2025

B **CITIGROUP GLOBAL MARKETS INC.**
Citi Private Bank
201 S. Biscayne Blvd, FL 31 Ste 3100 & FL 33 Ste 3
Miami, FL 33131
CRD# 7059
Registered with this firm since: 10/01/2025

B **CITI PRIVATE ALTERNATIVES, LLC**
Citi Private Bank
201 S. Biscayne Blvd, FL 31 Ste 3100 & FL 33 Ste 3
Miami, FL 33131
CRD# 153777
Registered with this firm since: 10/01/2025

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:

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

This broker has passed:

- 0 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
08/2022 - 08/2025

B **RAYMOND JAMES & ASSOCIATES, INC.**
CRD# 705
CORAL GABLES, FL
08/2022 - 08/2025

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
02/2016 - 08/2022

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 27 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CITI PRIVATE ALTERNATIVES, LLC**

Main Office Address: **388 GREENWICH STREET**
29TH FLOOR
NEW YORK, NY 10013

Firm CRD#: **153777**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/01/2025
B	FINRA	Operations Professional	Approved	10/01/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/01/2025
B	Alaska	Agent	Approved	10/22/2025
B	Arizona	Agent	Approved	10/01/2025
B	Arkansas	Agent	Approved	10/01/2025
B	California	Agent	Approved	10/01/2025
B	Colorado	Agent	Approved	10/01/2025
B	Connecticut	Agent	Approved	10/01/2025
B	Delaware	Agent	Approved	10/01/2025
B	District of Columbia	Agent	Approved	10/01/2025
B	Florida	Agent	Approved	10/01/2025
B	Georgia	Agent	Approved	10/01/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	10/01/2025
B	Idaho	Agent	Approved	10/01/2025
B	Illinois	Agent	Approved	10/01/2025
B	Indiana	Agent	Approved	10/01/2025
B	Iowa	Agent	Approved	10/01/2025
B	Kansas	Agent	Approved	10/01/2025
B	Kentucky	Agent	Approved	10/01/2025
B	Louisiana	Agent	Approved	10/01/2025
B	Maine	Agent	Approved	10/01/2025
B	Maryland	Agent	Approved	10/01/2025
B	Massachusetts	Agent	Approved	10/21/2025
B	Michigan	Agent	Approved	10/01/2025
B	Minnesota	Agent	Approved	10/01/2025
B	Mississippi	Agent	Approved	10/01/2025
B	Missouri	Agent	Approved	10/01/2025
B	Montana	Agent	Approved	10/01/2025
B	Nebraska	Agent	Approved	10/07/2025
B	New Hampshire	Agent	Approved	10/01/2025
B	New Jersey	Agent	Approved	10/01/2025
B	New Mexico	Agent	Approved	10/01/2025
B	New York	Agent	Approved	10/01/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	10/01/2025
B	North Dakota	Agent	Approved	10/01/2025
B	Ohio	Agent	Approved	10/01/2025
B	Oklahoma	Agent	Approved	10/01/2025
B	Oregon	Agent	Approved	10/17/2025
B	Pennsylvania	Agent	Approved	10/01/2025
B	Puerto Rico	Agent	Approved	10/01/2025
B	Rhode Island	Agent	Approved	10/01/2025
B	South Carolina	Agent	Approved	10/01/2025
B	South Dakota	Agent	Approved	10/01/2025
B	Tennessee	Agent	Approved	10/01/2025
B	Texas	Agent	Approved	10/01/2025
B	Utah	Agent	Approved	10/16/2025
B	Vermont	Agent	Approved	10/01/2025
B	Virgin Islands	Agent	Approved	10/01/2025
B	Virginia	Agent	Approved	10/02/2025
B	Washington	Agent	Approved	10/01/2025
B	West Virginia	Agent	Approved	10/23/2025
B	Wisconsin	Agent	Approved	10/01/2025
B	Wyoming	Agent	Approved	10/01/2025

Broker Qualifications

Employment 1 of 2, continued
Branch Office Locations

CITI PRIVATE ALTERNATIVES, LLC
Citi Private Bank
201 S. Biscayne Blvd, FL 31 Ste 3100 & FL 33 Ste 3
Miami, FL 33131

Employment 2 of 2

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	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	10/01/2025
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	FINRA	General Securities Representative	Approved	10/01/2025
B	FINRA	Operations Professional	Approved	10/01/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	10/01/2025
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/01/2025
B	MEMX LLC	General Securities Representative	Approved	10/01/2025

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	MIAX Emerald, LLC	General Securities Representative	Approved	10/01/2025
B	MIAX PEARL, LLC	General Securities Representative	Approved	10/01/2025
B	MIAX Sapphire	General Securities Representative	Approved	10/01/2025
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/01/2025
B	NYSE American LLC	General Securities Representative	Approved	10/01/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/01/2025
B	NYSE National, Inc.	General Securities Representative	Approved	10/01/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/01/2025
B	Nasdaq BX, Inc.	General Securities Representative	Approved	10/01/2025
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	10/01/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/01/2025
B	Nasdaq MRX, LLC	General Securities Representative	Approved	10/01/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/01/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	10/01/2025
B	New York Stock Exchange	General Securities Representative	Approved	10/01/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/01/2025
B	Alaska	Agent	Approved	10/01/2025
B	Arizona	Agent	Approved	10/01/2025
B	Arkansas	Agent	Approved	10/01/2025

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	10/01/2025
B	Colorado	Agent	Approved	10/01/2025
B	Connecticut	Agent	Approved	10/01/2025
B	Delaware	Agent	Approved	10/01/2025
B	District of Columbia	Agent	Approved	10/01/2025
B	Florida	Agent	Approved	10/01/2025
IA	Florida	Investment Adviser Representative	Approved	10/02/2025
B	Georgia	Agent	Approved	10/01/2025
B	Hawaii	Agent	Approved	10/01/2025
B	Idaho	Agent	Approved	10/01/2025
B	Illinois	Agent	Approved	10/01/2025
B	Indiana	Agent	Approved	10/01/2025
B	Iowa	Agent	Approved	10/01/2025
B	Kansas	Agent	Approved	10/01/2025
B	Kentucky	Agent	Approved	10/01/2025
B	Louisiana	Agent	Approved	10/01/2025
B	Maine	Agent	Approved	10/01/2025
B	Maryland	Agent	Approved	10/01/2025
B	Massachusetts	Agent	Approved	10/01/2025
B	Michigan	Agent	Approved	10/01/2025
B	Minnesota	Agent	Approved	10/01/2025

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	10/01/2025
B	Missouri	Agent	Approved	10/01/2025
B	Montana	Agent	Approved	10/01/2025
B	Nebraska	Agent	Approved	10/01/2025
B	Nevada	Agent	Approved	10/01/2025
B	New Hampshire	Agent	Approved	10/01/2025
B	New Jersey	Agent	Approved	10/01/2025
B	New Mexico	Agent	Approved	10/01/2025
B	New York	Agent	Approved	10/01/2025
B	North Dakota	Agent	Approved	10/01/2025
B	Ohio	Agent	Approved	10/01/2025
B	Oklahoma	Agent	Approved	10/01/2025
B	Oregon	Agent	Approved	10/01/2025
B	Pennsylvania	Agent	Approved	10/01/2025
B	Puerto Rico	Agent	Approved	10/01/2025
B	Rhode Island	Agent	Approved	10/01/2025
B	South Carolina	Agent	Approved	10/01/2025
B	South Dakota	Agent	Approved	10/01/2025
B	Tennessee	Agent	Approved	10/01/2025
B	Texas	Agent	Approved	10/01/2025
B	Utah	Agent	Approved	10/01/2025

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	10/01/2025
B	Virgin Islands	Agent	Approved	10/01/2025
B	Virginia	Agent	Approved	10/01/2025
B	Washington	Agent	Approved	10/01/2025
B	West Virginia	Agent	Approved	10/01/2025
B	Wisconsin	Agent	Approved	10/01/2025
B	Wyoming	Agent	Approved	10/01/2025

Branch Office Locations

CITIGROUP GLOBAL MARKETS INC.
Citi Private Bank
201 S. Biscayne Blvd, FL 31 Ste 3100 & FL 33 Ste 3
Miami, FL 33131

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	12/15/2014
B	Operations Professional Examination	Series 99	07/30/2014

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/18/2015

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
IA	08/2022 - 08/2025	RAYMOND JAMES & ASSOCIATES, INC.	705	CORAL GABLES, FL
B	08/2022 - 08/2025	RAYMOND JAMES & ASSOCIATES, INC.	705	CORAL GABLES, FL
IA	02/2016 - 08/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL
B	02/2016 - 08/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMI, FL
B	07/2014 - 02/2016	CP CAPITAL SECURITIES	15029	MIAMI, FL

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
10/2025 - Present	Citigroup	Investment Associate Lead, Vice President	Y	Miami, FL, United States
08/2022 - 08/2025	Raymond James & Associates, Inc.	Registered Representative	Y	Miami, FL, United States
02/2016 - 08/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Registered Client Associate	Y	Miami, FL, United States
01/2014 - 02/2016	CP CAPITAL SECURITIES, INC.	CLERK	Y	MIAMI, FL, 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: 1435 AW 102nd PL, Miami, FL, 33174, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/07/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this

Registration and Employment History

Other Business Activities, continued

business during trading hours: 0-1 Description of duties: None, I have a realtor who takes care of renting the unit and dealing with the tenant (2)Name of Business: The Cannata Family Trust I Address: 1435SW 102nd PL, Miami, FL, 33174, United States Activity Type: Control Person Position/Title: Trustee (Acting) Investment Related: Yes Start Date: 05/14/2015 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I'm the trustee and beneficiary of my fathers trust for family estate planning purposes. Investments account are in the process of being transferred here to RJ. The acct numbers here are 152PR645 and 851VL871///Approved Activity: Rental Property Doral, FL//Is the outside business investment-related, per the definition given below? YES//What is the date the rental/real estate affiliation started? 09/09/2025//What is your title? Owner//What are your duties? No duties, I have a property manager that deals with the lease. Property is held in the Giann Piero Cannata Trust.//How many hours do you devote to the outside business each month during securities trading hours?0//How many hours do you devote to the outside business each month outside of securities trading hours? 0 Approved Activity: Rental Property Miami, FL//Is the outside business investment-related, per the definition given below? YES//What is the date the rental/real estate affiliation started? 07/22/2025//What is your title? Owner//What are your duties? No duties, I have a property manager that deals with the lease. Property is held in the Giann Piero Cannata Trust.//How many hours do you devote to the outside business each month during securities trading hours? 0//How many hours do you devote to the outside business each month outside of securities trading hours? 0

End of Report

This page is intentionally left blank.