

< Back

 Report  Share

CONSTANTINOS GEORGE MANIATIS

CONSTANTINOS G MANIATIS

CRD#: 4253356

 Previously Registered Broker

IA Investment Adviser 

The representative was previously registered as a broker and is currently registered as an investment adviser. Visit IAPD for more information on this individual's investment adviser record.

GO TO SEC SITE



3 Disclosures



17 Years of Experience

3 Firms



3 Exams Passed



0 State Licenses

Disclosure(s)

Close

View By: Date



4/26/2021

Regulatory

Final



Initiated By

FINRA

Allegations

Without admitting or denying the findings, Maniatis consented to the sanctions and to the entry of findings that he exercised discretion in customer accounts despite the fact that his member firm no longer permitted such discretionary trading. The findings stated that although the firm and the customers had previously authorized the exercise of discretion in the accounts at issue, at the time of the transactions, the firm did not permit the exercise of discretion in the accounts and no longer accepted the accounts as discretionary accounts.

Resolution

Acceptance, Waiver & Consent(AWC)

Sanctions

Civil and Administrative Penalty(ies)/Fine(s)

Amount

\$5,000.00

Sanctions

Suspension

Registration Capacities Affected

All Capacities

Duration

30 days

Start Date

5/3/2021

End Date

6/1/2021

[Disciplinary Action Details](#)

Employment



5/2/2019

Separation After
Allegations

Firm Name

MSWM

Termination Type

Discharged

Allegations

Allegations concerning employee's diversion of revenue from assigned rep code and trading in non-discretionary account. No customer complaints were recorded in connection with employee's conduct.

12/22/2014

Customer Dispute Denied



Allegations

CLIENT ALLEGED MISREPRESENTATION WITH RESPECT TO INVESTMENT STRATEGY ON ENERGY POSITIONS. 2014 DAMAGES UNSPECIFIED.

Examination(s)

Close

■ State Securities Law Exam

B IA Series 66 - Uniform Combined State Law Examination
Jan 14, 2003

■ General Industry/Products Exam

B SIE - Securities Industry Essentials Examination
Oct 1, 2018

B Series 7 - General Securities Representative Examination
Dec 22, 2000

Additional information including this individual's professional designations is available in the Detailed Report.

Previous Registration(s)

Close

MORGAN STANLEY (CRD#:149777)

DALLAS, TX

06/01/2009 - 05/31/2019

CITIGROUP GLOBAL MARKETS INC. (CRD#:7059)

DALLAS, TX

10/24/2006 - 06/01/2009

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (CRD#:7691)

NEW YORK, NY

01/01/2001 - 11/04/2005

Additional Information

The content of this summary, and the available detailed report, is governed by FINRA Rule 8312, and is primarily based on information filed on [uniform registration forms](#). Rule 8312, amendments to the rule and notices related to U.S. Securities and Exchange Commission approval orders, can be viewed [here](#).

State regulators are governed by their public records laws (not FINRA Rule 8312), and may provide information not in BrokerCheck, including information no longer required to be reported or updated on uniform registration forms due, for example, to its age or final disposition. You may [contact your state regulator](#) to request this additional information.

Click [here](#) for more information about how to check on an investment professional.

B Broker

A brokerage firm, also called a broker-dealer, is in the business of buying and selling securities – stocks, bonds, mutual funds, and certain other investment products – on behalf of its customer (as broker), for its own bank (dealer), or both.


Individuals who work for broker-dealers - the sales personnel are commonly referred to as brokers.

IA Investment Adviser

An investment adviser is paid for providing advice about securities to clients. In addition, some investment advisers manage investment portfolios and offer financial planning services.

It is common for a financial professional to act as both a broker and an investment adviser.

Because of this, we include investment advisers on BrokerCheck, and provide links to the [SEC's Investment Adviser Public Disclosure \(IAPD\) website](#) so you can research further.

 Previously Registered

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