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CONSTANTINOS GEORGE MANIATIS

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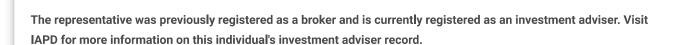
CRD#: 4253356



PR) Previously Registered Broker



A Investment Adviser



GO TO SEC SITE



3 Disclosures



17 Years of Experience





3 Exams Passed



O State Licenses

Disclosure(s)

Close

View By: Date

4/26/2021

Regulatory

Final

https://brokercheck.finra.org/individual/summary/4253356

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 Series 66 - Uniform Combined State Law Examination В IA Jan 14, 2003 ■ General Industry/Products Exam SIE - Securities Industry Essentials Examination Oct 1, 2018 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.

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Click here for more information about how to check on an investment professional.

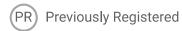
B Broker

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

IA Investment Adviser

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