



IAPD Report

DEMOS ARGYROS

CRD# 1325219

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DEMOS ARGYROS (CRD# 1325219)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	&PARTNERS	CRD# 3767	10/24/2025
IA	&PARTNERS	CRD# 3767	10/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **41** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

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

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	OPPENHEIMER & CO. INC.	249	ST. LOUIS, MO	11/06/2007 - 10/24/2025
B	OPPENHEIMER & CO. INC.	249	ST. LOUIS, MO	01/03/2003 - 10/24/2025
IA	OPPENHEIMER ASSET MANAGEMENT	105559	NEW YORK, NY	04/15/2003 - 11/12/2007

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	5



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **41** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **&PARTNERS**
Main Address: 40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
Firm ID#: 3767

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/24/2025
B	FINRA	General Securities Sales Supervisor	Approved	10/24/2025
B	FINRA	Operations Professional	Approved	10/24/2025
B	Alabama	Agent	Approved	10/24/2025
B	Arizona	Agent	Approved	10/24/2025
B	Arkansas	Agent	Approved	10/24/2025
B	California	Agent	Approved	10/24/2025
B	Colorado	Agent	Approved	10/28/2025
B	Connecticut	Agent	Approved	10/24/2025
B	Delaware	Agent	Approved	10/28/2025
B	District of Columbia	Agent	Approved	10/24/2025
B	Florida	Agent	Approved	10/27/2025
B	Georgia	Agent	Approved	10/24/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	10/24/2025
B Illinois	Agent	Approved	11/17/2025
B Indiana	Agent	Approved	11/05/2025
B Iowa	Agent	Approved	11/03/2025
B Kansas	Agent	Approved	10/24/2025
B Louisiana	Agent	Approved	10/24/2025
B Maryland	Agent	Approved	11/04/2025
B Massachusetts	Agent	Approved	02/25/2026
B Michigan	Agent	Approved	10/24/2025
B Minnesota	Agent	Approved	10/27/2025
B Mississippi	Agent	Approved	10/24/2025
B Missouri	Agent	Approved	10/27/2025
IA Missouri	Investment Adviser Representative	Approved	10/27/2025
B Montana	Agent	Approved	02/12/2026
B Nebraska	Agent	Approved	10/24/2025
B Nevada	Agent	Approved	10/24/2025
B New Hampshire	Agent	Approved	10/24/2025
B New Jersey	Agent	Approved	10/24/2025
B New Mexico	Agent	Approved	10/24/2025



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	10/24/2025
B North Carolina	Agent	Approved	10/30/2025
B Ohio	Agent	Approved	10/24/2025
B Oklahoma	Agent	Approved	10/29/2025
B Oregon	Agent	Approved	10/27/2025
B Pennsylvania	Agent	Approved	10/28/2025
B South Carolina	Agent	Approved	10/28/2025
B Tennessee	Agent	Approved	10/24/2025
B Texas	Agent	Approved	10/24/2025
IA Texas	Investment Adviser Representative	Restricted Approval	10/24/2025
B Utah	Agent	Approved	10/24/2025
B Virginia	Agent	Approved	10/24/2025
B Washington	Agent	Approved	10/24/2025
B Wisconsin	Agent	Approved	10/24/2025

Branch Office Locations

&PARTNERS

7701 Forsyth Blvd.
8th Floor
Clayton, MO 63105



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/19/2008
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/19/2008

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	09/15/1986
General Securities Representative Examination (S7)	Series 7	01/19/1985

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	05/09/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/06/2007 - 10/24/2025	OPPENHEIMER & CO. INC.	CRD# 249	ST. LOUIS, MO
B	01/03/2003 - 10/24/2025	OPPENHEIMER & CO. INC.	CRD# 249	ST. LOUIS, MO
IA	04/15/2003 - 11/12/2007	OPPENHEIMER ASSET MANAGEMENT	CRD# 105559	NEW YORK, NY
IA	01/03/2003 - 04/15/2003	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	ST. LOUIS, MO
IA	10/31/1995 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	ST LOUIS, MO
B	01/29/1992 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	09/04/1990 - 01/28/1992	KEMPER SECURITIES GROUP, INC.	CRD# 19616	ST. LOUIS, MO
B	04/26/1989 - 09/04/1990	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	
B	04/11/1988 - 03/30/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	07/25/1986 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	01/23/1985 - 07/16/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	&PARTNERS	Financial Advisor	Y	Nashville, TN, United States
04/2003 - 10/2025	OPPENHEIMER ASSET MANAGEMENT INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2003 - 10/2025	FAHNESTOCK & CO. INC.	MASS TRANSFER	Y	NEW YORK, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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 Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	5

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/24/2020
Docket/Case Number:	CSB-2018-1263856
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER & CO. INC.
Product Type:	No Product
Allegations:	NEW YORK INSURANCE ADMINISTRATIVE FOR LATE DISCLOSURE ON A PREVIOUS REPORTABLE EVENT. UNINTENTIONAL OMISSION RESULTING FROM AUTO-RENEWAL OF INSURANCE LICENSE.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	01/24/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,500.00

Portion Levied against individual: \$1,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 01/24/2020

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

This matter was simply a case of filling out an auto-renewal for my insurance license. I had inadvertently checked the wrong box when filling out the form. Previous applications had the correct information. However, NYS determined their rules required a fine to be levied which I paid promptly. There was no customer harm or intent to fill out incorrectly.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANT ALLEGES NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT RELATING TO UNSUITABLE EQUITIES AND WARRANTS. FROM 5/1/2008 TO 11/30/2016.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	19-00501
Filing date of arbitration/CFTC reparation or civil litigation:	02/14/2019

Customer Complaint Information

Date Complaint Received:	02/15/2019
Complaint Pending?	No
Status:	Settled
Status Date:	03/04/2020
Settlement Amount:	\$8,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	Claimants claims lack merit, and I continue to deny any and all of the unwarranted and unsubstantiated allegations. I at all times conducted myself in an appropriate and professional matter. While the firm elected to settle the matter to avoid the cost of litigation, I did not contribute to the settlement.
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Disclosure 2 of 5

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: BREACH OF FIDUCIARY DUTY, CHURNING, SUITABILITY CONVERSION BY CHARGING EXCESSIVE FEES AND MISSING FUNDS. FROM 1/2008 THROUGH 12/2016.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$900,000.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGE CLAIM REDUCED IN AMENDED STATEMENT CLAIM

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/03/2017

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/05/2017

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-02648

Date Notice/Process Served: 11/28/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/17/2018

Monetary Compensation Amount: \$275,000.00

Individual Contribution Amount: \$275,000.00

Broker Statement I VOLUNTARILY AGREED TO REIMBURSE THE FIRM OVER A 2 1/2 YEAR PERIOD FROM GROSS PRODUCTION.

Disclosure 3 of 5

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CLAIMANTS ALLEGE THAT MR. ARGYROS FAILED TO DIVERSIFY THE PORTFOLIO, AND CHOSE INAPPROPRIATE INVESTMENTS. CLAIMANT ALLEGES THAT THE DAMAGES EXCEED \$100,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 03/06/2003

Complaint Pending? No

Status: Denied

Status Date: 09/12/2003

Settlement Amount: \$0.00

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CLAIMANTS ALLEGES THAT MR. ARGYROS FAILED TO DIVERSIFY THE PORTFOLIO AND CHOSE INAPPROPRIATE INVESTMENTS. CLAIMANT ALLEGES THAT THE DAMAGES EXCEED \$100,000.00.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 03/06/2003

Complaint Pending? No

Status: Denied

Status Date: 09/12/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: CIBC OPPENHEIMER CORP.

Allegations: >03/07/01 NEGLIGENCE, UNAUTHORIZED TRADING, FAILURE TO EXECUTE, BREACH OF FIDUCIARY DUTY



Product Type: Other
Other Product Type(s): UNKNOWN TYPE OF SECURITIES
Alleged Damages: \$186,379.25

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #99-03296](#)

Date Notice/Process Served: 06/19/1999

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/29/2001

Disposition Detail: AMOUNT AWARDED AS COMPENSATORY DAMAGES, \$56,500.00 IN FAVOR OF CLAIMANT AND AGAINST RESPONDENT DEMOS ARGYOS JOINT AND SEVERALLY.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. ARGYROS FAILED TO FOLLOW HIS TRANSACTIONS INSTRUCTION WITH RESPECT TO HIS ALLEGED REQUEST TO SHORT AGOURON PHARMACEUTICALS AND TO PURCHASE AMAZON.COM. CLAIMANT FURTH ALLEGES THAT MR. AGYROS EXECUTED THE PURCHASE OF MONSANTO WITHOUT HIS AUTHORIZATION.

Product Type: Other

Alleged Damages: \$188,016.00

Customer Complaint Information

Date Complaint Received: 07/12/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/26/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD #99-03296](#)

Date Notice/Process Served: 07/26/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/29/2001



Monetary Compensation Amount: \$56,500.00

Individual Contribution Amount: \$0.00

Broker Statement THE ACCOUNT IN QUESTION WAS UNDER A COURT ORDERED FREEZE DUE TO THE CLAIMANT'S PENDING DIVORCE. CLAIMANT HAD TO OBTAIN PERMISSION FROM HIS WIFE FOR TRADE EXECUTION. CLAIMANT'S WIFE WOULD NOT APPROVE THE TRADE IN AMAZON AND INSTRUCTED MR. ARGYROS TO PURCHASE MONSANTO TO WHICH CLAIMANT AGREED. THE SHORT SALE OF AGOURON COULD NOT BE COMPLETED AS CIBC OPPENHEIMER COULD NOT BORROW THE STOCK.

Disclosure 5 of 5

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & COMPANY

Allegations: CUSTOMER V. MEMBER AND NON-MEMBERS FOR SUITABILITY MISREPRESENTATION FRAUD. DAMAGES: \$50,000.00. COUNTERCLAIM AGAINST [CUSTOMER] FOR \$10,477.48 DEBIT BALANCE IN COMMODITY TRADING, ACCOUNT

Product Type:

Alleged Damages: \$50,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE - CASE #N/A

Date Notice/Process Served: 11/02/1988

Arbitration Pending? No

Disposition: Other

Disposition Date: 06/29/1989

Disposition Detail: AWARD AGAINST PARTY RESPONDENTS E.F. HUTTON & CO. AND [THIRD PARTY] SHALL PAY CLAIMANT [CUSTOMER] THE TOTAL SUM OF \$1436.00 REPRESENTING AN AWARD ON THE CLAIMANT THE AMOUNT OF \$11,813.00 MINUS \$10,477.00 OWED TO RESPONDENT ON THE COUNTERCLAIM, AND RESPONDENTS E.F. HUTTON AND [THIRD PARTY] SHALL PAY CLAIMANT [CUSTOMER] THE TOTAL SUM OF \$12,301.00. COSTS PAYABLE TO NYSE IN THE SUM OF \$800.00 IS ASSESSED AGAINST RESPONDENT E.F. HUTTON. **CLAIMANTS AGREE TO WITHDRAW COMMODITY CLAIM PENDING BEFORE THE NFA AND SUBMIT THOSE ISSUES TO THIS PANEL.*

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & COMPANY

Allegations: MISREPRESENTATION OF INVESTMENT IN OPTIONS.



UNSUITABILITY WITH COMMODITIES TRADING.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange

Date Notice/Process Served: 11/02/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/29/1989

Monetary Compensation Amount: \$1,436.00

Individual Contribution Amount: \$0.00

Firm Statement

THE MATTER WAS CONCLUDED BY SETTLEMENT IN THE AMOUNT OF \$13,737.00 ARGYROS DID NOT CONTRIBUTE. CUSTOMERS SOUGHT \$150,000.00 FROM EACH DEFENDANT FOR COMPENSATORY DAMAGES AND 1,500,000.00 FOR PUNITIVE DAMAGES.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & COMPANY

Allegations: THE PLAINTIFFS CLAIM THAT I MISREPRESENTED THEIR INVESTMENTS IN OPTIONS AND THAT THE RISK FACTORS ASSOCIATED WITH THE STRATEGY INVOLVING STRADDLES WERE NOT ADEQUATELY EXPLAINED. THEY ALSO ALLEGE THAT COMMODITIES TRADING WERE UNSUITABLE FOR THEM AND THAT THE ASSOCIATED RISK FACTORS WERE NOT FULLY EXPLAINED. THEY SEEK \$150,000 FROM EACH DEFENDANT FOR COMPENSATORY DAMAGES AND \$1,500,000 FOR PUNITIVE DAMAGES.

Product Type:

Alleged Damages: \$50,000.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: New York Stock Exchange

Date Notice/Process Served: 11/02/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/29/1989

Monetary Compensation Amount: \$1,436.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER WAS CONCLUDED BY SETTLEMENT IN THE AMOUNT OF \$13,737.00 OF WHICH I CONTRIBUTED NOTHING. NOT PROVIDED



End of Report

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