



## IAPD Report

# JOHN PETER CALAMOS SR.

CRD# 38210

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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

### JOHN PETER CALAMOS SR. (CRD# 38210)

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 **12/03/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CALAMOS FINANCIAL SERVICES LLC	CRD# 19850	07/15/1987
<b>IA</b>	CALAMOS ADVISORS LLC	CRD# 105758	01/06/2015
<b>IA</b>	CALAMOS WEALTH MANAGEMENT LLC	CRD# 143490	01/23/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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
<b>IA</b>	CALAMOS ADVISORS LLC	105758	NAPERVILLE, IL	03/19/1993 - 01/05/2015
<b>B</b>	NODDINGS, CALAMOS AND ASSOCIATES, INC.	7411	NAPERVILLE, IL	06/17/1977 - 09/17/1987
<b>B</b>	WOOLARD & COMPANY INCORPORATED	906	NAPERVILLE, IL	06/04/1976 - 07/11/1977

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	1



## Report Summary



## 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 44 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 3

Firm Name: **CALAMOS WEALTH MANAGEMENT LLC**

Main Address: 2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787

Firm ID#: 143490

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	01/23/2015

#### Branch Office Locations

**CALAMOS WEALTH MANAGEMENT LLC**

2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787

#### Employment 2 of 3

Firm Name: **CALAMOS ADVISORS LLC**

Main Address: 2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787

Firm ID#: 105758

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	01/06/2015

#### Branch Office Locations

**CALAMOS ADVISORS LLC**

2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787

#### Employment 3 of 3

Firm Name: **CALAMOS FINANCIAL SERVICES LLC**

Main Address: 2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787

Firm ID#: 19850



## Qualifications

Regulator	Registration	Status	Date
B FINRA	Financial and Operations Principal	Approved	07/15/1987
B FINRA	General Securities Principal	Approved	07/15/1987
B FINRA	General Securities Representative	Approved	07/15/1987
B FINRA	Municipal Securities Principal	Approved	07/15/1987
B FINRA	Registered Options Principal	Approved	07/15/1987
B FINRA	Municipal Securities Representative	Approved	12/15/1993
B FINRA	Operations Professional	Approved	12/19/2011
B Arizona	Agent	Approved	07/13/1993
B Arkansas	Agent	Approved	08/18/2000
B California	Agent	Approved	08/06/1987
B Colorado	Agent	Approved	07/12/1993
B Connecticut	Agent	Approved	01/15/1988
B Delaware	Agent	Approved	07/12/1993
B District of Columbia	Agent	Approved	07/19/1993
B Florida	Agent	Approved	08/07/1987
B Georgia	Agent	Approved	07/12/1993
B Hawaii	Agent	Approved	07/16/1993
B Idaho	Agent	Approved	07/15/1993
B Illinois	Agent	Approved	07/07/1987



## Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	07/12/1993
B Iowa	Agent	Approved	07/13/1993
B Kansas	Agent	Approved	03/29/1993
B Kentucky	Agent	Approved	07/15/1993
B Louisiana	Agent	Approved	07/13/1993
B Maine	Agent	Approved	01/07/1994
B Maryland	Agent	Approved	07/12/1993
B Massachusetts	Agent	Approved	07/12/1993
B Michigan	Agent	Approved	07/12/1993
B Minnesota	Agent	Approved	07/13/1993
B Mississippi	Agent	Approved	01/10/1994
B Missouri	Agent	Approved	07/14/1993
B Montana	Agent	Approved	07/13/1993
B Nebraska	Agent	Approved	03/29/1993
B Nevada	Agent	Approved	07/12/1993
B New Hampshire	Agent	Approved	01/22/1998
B New Jersey	Agent	Approved	02/22/1988
B New Mexico	Agent	Approved	07/12/1993
B New York	Agent	Approved	07/12/1993



## Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	07/13/1993
B Ohio	Agent	Approved	01/01/1988
B Oklahoma	Agent	Approved	07/13/1993
B Oregon	Agent	Approved	07/12/1993
B Pennsylvania	Agent	Approved	07/12/1993
B Rhode Island	Agent	Approved	07/30/1993
B South Carolina	Agent	Approved	07/12/1993
B South Dakota	Agent	Approved	04/25/1995
B Texas	Agent	Approved	08/05/1987
B Utah	Agent	Approved	10/21/1993
B Virginia	Agent	Approved	07/26/1993
B Washington	Agent	Approved	03/29/1993
B Wisconsin	Agent	Approved	01/29/1988

## Branch Office Locations

**CALAMOS FINANCIAL SERVICES LLC**  
2020 CALAMOS COURT  
NAPERVILLE, IL 60563



## 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 6 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	09/13/1977
 Financial Principal Examination (F04)	F04	04/06/1977
 Registered Principal Examination (S40)	Series 40	12/29/1976

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	11/19/1971



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/07/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/07/1993

### 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	03/19/1993 - 01/05/2015	CALAMOS ADVISORS LLC	CRD# 105758	NAPERVILLE, IL
B	06/17/1977 - 09/17/1987	NODDINGS, CALAMOS AND ASSOCIATES, INC.	CRD# 7411	
B	06/04/1976 - 07/11/1977	WOOLARD & COMPANY INCORPORATED	CRD# 906	
B	10/06/1975 - 07/18/1976	HORNBLOWER & WEEKS - HEMPHILL, NOYES INCORPORATED	CRD# 412	
B	12/01/1971 - 04/23/1976	DUPONT GLORE FORGAN INCORPORATED	CRD# 325	
B	10/23/1974 - 10/30/1975	BACHE & CO INCORPORATED	CRD# 7058	
B	03/27/1974 - 11/02/1974	LOEB RHOADES & CO	CRD# 1000003	
B	07/02/1973 - 05/26/1974	DUPONT WALSTON, INCORPORATED	CRD# 870	

### 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
01/1993 - Present	CALAMOS ADVISORS LLC	FOUNDER, CHAIRMAN AND GLOBAL CIO	Y	NAPERVILLE, IL, United States
01/1993 - Present	CALAMOS WEALTH MANAGEMENT LLC	FOUNDER, CHAIRMAN AND GLOBAL CIO	Y	NAPERVILLE, IL, United States
04/1987 - Present	CALAMOS FINANCIAL SERVICES LLC	FOUNDER, CHAIRMAN AND GLOBAL CIO	Y	NAPERVILLE, IL, United States

### 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.

Illinois Institute of Technology, 10 West 35th Street Chicago, IL 60616-3793. Illinois Institute of Technology is a private,



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

technology-focused, research university offering undergraduate and graduate degrees in engineering, science, architecture, business, design, human sciences, applied technology, and law. This is not investment related. As a Member of the Board of Trustees my duties include attending board meetings to serve and manage the affairs of Illinois Institute of Technology. I have been associated with Illinois Institute of Technology since 01/2014. I anticipate spending 1 hour per month on this activity and zero hours per month during trading hours. I am not compensated for this activity.

The FAITH Endowment: An Endowment for Orthodoxy and Hellenism. 499 Park Avenue, New York, NY 10022. I am a member of the Investment Committee since January 2013, and this activity is investment related. I anticipate spending 1 hour per month on this activity and 1 during trading hours. My duties include participating in monthly remote investment committee meetings to review the Endowment's investment strategy and policy, oversee portfolio performance, and monitor investment risk levels. I am not compensated for this activity.



## 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	1

### 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:** Regulator  
**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 10/16/1996

**Docket/Case Number:**

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 10/16/1996

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** 10-18-96, SEC NEWS DIGEST ISSUE NO. 96-198, DATED OCTOBER 17,



1996, ENFORCEMENT PROCEEDINGS DISCLOSE: "CALAMOS ASSET MANAGEMENT, INC. ORDERED TO CEASE AND DESIST AND FINED"; THE COMMISSION ANNOUNCED TODAY THAT IT ISSUED AN ORDER INSTITUTING

PUBLIC ADMINISTRATIVE PROCEEDINGS AGAINST CALAMOS ASSET MANAGEMENT, INC. (CALAMOS) AND JOHN P. CALAMOS (J. CALAMOS) PURSUANT TO SECTIONS 20(e) AND 203(k) OF THE INVESTMENT ADVISERS ACT, MAKING FINDINGS, IMPOSING REMEDIAL SANCTIONS AND ORDERING RESPONDENTS TO CEASE AND DESIST (ORDER). CALAMOS, A REGISTERED INVESTMENT ADVISER, AND ITS PRESIDENT, J. CALAMOS, CONSENTED TO THE ENTRY OF THE ORDER WITHOUT ADMITTING OR DENYING THE COMMISSION'S FINDINGS, EXCEPT AS TO JURISDICTION, WHICH WAS ADMITTED. THE ORDER FINDS THAT DURING 1993 AND 1994, CALAMOS, AT THE DIRECTION OF J. CALAMOS, EXECUTED APPROXIMATELY

1,600 PRINCIPAL TRANSACTIONS WITH ITS ADVISORY CLIENTS THROUGH A BROKER-DEALER UNDER COMMON CONTROL WITH IT WITHOUT DISCLOSING

THE CAPACITY IN WHICH IT WAS ACTING AND WITHOUT OBTAINING SUCH CLIENTS' CONSENT PRIOR TO THE TRANSACTIONS. CALAMOS ALSO FAILED

TO DISCLOSE ON ITS 1993 AND 1994 AMENDMENTS TO FORM ADV THAT THE PRINCIPAL TRANSACTIONS WERE BEING EXECUTED THROUGH A BROKER-DEALER UNDER COMMON CONTROL WITH IT. AS A RESULT, CALAMOS WILLFULLY VIOLATED SECTIONS 206(3) AND 207 OF THE ADVISERS ACT, AND J. CALAMOS CAUSED CALAMOS' VIOLATIONS OF SECTIONS 206(3) AND 207 OF THE ADVISERS ACT. THE ORDER REQUIRES CALAMOS AND J. CALAMOS TO CEASE-AND-DESIST VIOLATING AND CAUSING VIOLATIONS OF THE ADVISERS ACT, ORDERS CALAMOS TO PAY A

\$25,000 CIVIL PENALTY AND ORDERS CALAMOS TO COMPLY WITH CERTAIN REMEDIAL UNDERTAKINGS. (REL. IA-1594)

12-30-96, 63 SEC DOCKET 0104, DATED NOVEMBER 12, 1996  
DISCLOSES: CEASE & DESIST ORDER IS DATED OCTOBER 16, 1996.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 10/16/1996

**Docket/Case Number:** 3-9166

**Employing firm when activity occurred which led to the regulatory action:** CALAMOS ASSET MANAGEMENT, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THAT CALAMOS FINANCIAL SERVICES, INC'S (CFS) TRADING PRACTICES INVOLVED PRINCIPAL TRADES WITHOUT OBTAINING THE CLIENT'S CONSENT PRIOR TO THE TRANSACTIONS. JOHN CALAMOS



WAS RESPONSIBLE FOR COMPLIANCE. THE CLIENTS SUFFERED NO ACTUAL OR ALLEGED FINANCIAL DAMAGES.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	10/16/1996
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction Monetary/Fine \$25,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	JOHN P. CALAMOS AND CALAMOS ASSET MANAGEMENT, INC (CAM) PAID A \$25,000 CIVIL PENALTY AND AGREED NOT TO VIOLATE FEDERAL SECURITIES LAWS. IN ADDITION, CALAMOS INITIATED A REVIEW OF POLICIES AND PROCEDURES AND HIRED A DIRECTOR OF COMPLIANCE TO ENSURE COMPLIANCE WITH ALL SEC RULES.
<b>Broker Statement</b>	THE TRADES IN QUESTION RESULTED FROM BUNCHING ORDERS FOR 17 BROKER DEALER CLIENTS FOR WHICH CALAMOS WAS ALSO THE INVESTMENT ADVISER. CFS USED AN AVERAGE PRICE ACCOUNT TO CONSOLIDATE THESE TRADES. IN THE COURSE OF CONSOLIDATION, THESE TRADES WERE TEMPORARILY HELD IN AN ACCOUNT BEARING CFS' NAME. THE SEC CLAIMED THAT EVEN TEMPORARILY HOLDING THE SECURITIES IN CFS' ACCOUNT VIOLATED SECURITIES LAWS. UPON NOTIFICATION CFS IMMEDIATELY CORRECTED THE PROCEDURE. THE TRADES DID NOT IMPOSE ANY FINANCIAL ADVERSITY ON THE CLIENTS. PRINCIPAL TRADE MARK UPS AND MARK DOWNS WERE EQUIVALENT COMMISSIONS BEING CHARGED ON AN AGENCY BASIS.



## 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CALAMOS WEALTH MANAGEMENT
<b>Allegations:</b>	CLAIMANT ALLEGES THAT SHE COMPLAINED TO MR. CALAMOS ABOUT A FIRM EMPLOYEE WHO ALLEGEDLY FAILED TO FOLLOW HER ORAL INSTRUCTION TO SELL MUTUAL FUNDS IN 2008, AND THAT MR. CALAMOS FAILED TO RESPOND TO HER COMPLAINT AS PROMISED. MR. CALAMOS DENIES THAT CLAIMANT MADE SUCH A COMPLAINT TO HIM, OR THAT SHE MADE ANY COMPLAINT OTHER THAN THAT SHE HAD NOT RECEIVED A TAX REPORT. MR. CALAMOS DENIES ANY WRONGDOING.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$2,700,000.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	ARBITRATION # 10-02858
<b>Date Notice/Process Served:</b>	06/28/2010
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Withdrawn
<b>Disposition Date:</b>	03/28/2011
<b>Monetary Compensation Amount:</b>	\$1,350,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	CLAIMANT WITHDREW AND VOLUNTARILY DISMISSED WITH PREJUDICE ALL CLAIMS AGAINST JOHN P. CALAMOS, SR. CLAIMANT SETTLED ALL CLAIMS AGAINST CALAMOS FINANCIAL SERVICES LLC ("CFS") IN EXCHANGE FOR A PAYMENT BY CFS IN THE AMOUNT OF \$1,350,000, REPRESENTING 50% OF HER CLAIM. JOHN P. CALAMOS, SR. DID NOT CONTRIBUTE TO THE SETTLEMENT.



## End of Report

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