

## BrokerCheck Report

**JOHN PETER CALAMOS SR.**

CRD# 38210

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**JOHN P. CALAMOS SR.**

CRD# 38210

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

**IA CALAMOS WEALTH MANAGEMENT LLC**

2020 CALAMOS COURT  
NAPERVILLE, IL 60563  
CRD# 143490

Registered with this firm since: 01/23/2015

**IA CALAMOS ADVISORS LLC**

2020 CALAMOS COURT  
NAPERVILLE, IL 60563  
CRD# 105758

Registered with this firm since: 01/06/2015

**B CALAMOS FINANCIAL SERVICES LLC**

2020 CALAMOS COURT  
NAPERVILLE, IL 60563  
CRD# 19850

Registered with this firm since: 07/15/1987

**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:**

- 1 Self-Regulatory Organization
- 44 U.S. states and territories

**This broker has passed:**

- 6 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History**

**This broker was previously registered with the following securities firm(s):**

**IA CALAMOS ADVISORS LLC**

CRD# 105758  
NAPERVILLE, IL  
03/1993 - 01/2015

**B NODDINGS, CALAMOS AND ASSOCIATES, INC.**

CRD# 7411  
06/1977 - 09/1987

**B WOOLARD & COMPANY INCORPORATED**

CRD# 906  
06/1976 - 07/1977

**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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	1



## 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 1 SRO and is licensed in 44 U.S. states and territories through his or her employer.**

### Employment 1 of 3

Firm Name: **CALAMOS ADVISORS LLC**  
 Main Office Address: **2020 CALAMOS COURT  
 NAPERVILLE, IL 60563-2787**  
 Firm CRD#: **105758**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/06/2015

### Branch Office Locations

2020 CALAMOS COURT  
 NAPERVILLE, IL 60563-2787

### Employment 2 of 3

Firm Name: **CALAMOS FINANCIAL SERVICES LLC**  
 Main Office Address: **2020 CALAMOS COURT  
 NAPERVILLE, IL 60563-2787**  
 Firm CRD#: **19850**

	SRO	Category	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

## Broker Qualifications



### Employment 2 of 3, continued

	SRO	Category	Status	Date
B	FINRA	Municipal Securities Representative	Approved	12/15/1993
B	FINRA	Operations Professional	Approved	12/19/2011

	U.S. State/ Territory	Category	Status	Date
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
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

## Broker Qualifications



### Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
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
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



## Broker Qualifications

### Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
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

### Employment 3 of 3

Firm Name: **CALAMOS WEALTH MANAGEMENT LLC**

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

Firm CRD#: **143490**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/23/2015

### Branch Office Locations

2020 CALAMOS COURT  
NAPERVILLE, IL 60563-2787







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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Financial and Operations Principal Examination	Series 27	01/02/2023
<b>B</b> Municipal Securities Principal Examination	Series 53	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	01/02/2023
<b>B</b> Registered Options Principal Examination	Series 4	09/13/1977
<b>B</b> Financial Principal Examination	F04	04/06/1977
<b>B</b> Registered Principal Examination	Series 40	12/29/1976

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> General Securities Representative Examination	Series 7TO	01/02/2023
<b>B</b> Municipal Securities Representative Examination	Series 52TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Registered Representative Examination	Series 1	11/19/1971

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/07/1993
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/07/1993

## Broker Qualifications



### Industry Exams this Broker has Passed, continued

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/](http://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
<b>IA</b> 03/1993 - 01/2015	CALAMOS ADVISORS LLC	105758	NAPERVILLE, IL
<b>B</b> 06/1977 - 09/1987	NODDINGS, CALAMOS AND ASSOCIATES, INC.	7411	
<b>B</b> 06/1976 - 07/1977	WOOLARD & COMPANY INCORPORATED	906	
<b>B</b> 10/1975 - 07/1976	HORNBLOWER & WEEKS - HEMPHILL, NOYES INCORPORATED	412	
<b>B</b> 12/1971 - 04/1976	DUPONT GLORE FORGAN INCORPORATED	325	
<b>B</b> 10/1974 - 10/1975	BACHE & CO INCORPORATED	7058	
<b>B</b> 03/1974 - 11/1974	LOEB RHOADES & CO	1000003	
<b>B</b> 07/1973 - 05/1974	DUPONT WALSTON, INCORPORATED	870	

### 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
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



## Registration and Employment History

### 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.

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

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## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	10/16/1996
<b>Docket/Case Number:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	10/16/1996
<b>Sanctions Ordered:</b>	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.

#### Reporting Source:

Broker

#### Regulatory Action Initiated By:

SECURITIES AND EXCHANGE COMMISSION





<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	10/16/1996
<b>Docket/Case Number:</b>	3-9166
<b>Employing firm when activity occurred which led to the regulatory action:</b>	CALAMOS ASSET MANAGEMENT, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	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 SECURITES 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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<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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