

DENISE VOIGT CRAWFORD
SECURITIES COMMISSIONER



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KENNETH W. ANDERSON, JR.
MEMBER

SSB Docket No. 00-002

IN THE MATTER OF
THE AGENT REGISTRATION OF
ARISTIDES DIONYSIOS PRIAKOS

§
§
§

Order No. CAF-1383

TO: Aristides Dionysios Priakos (CRD # 2740439)
7600 Broadway, # C10
San Antonio, Texas 78209

DISCIPLINARY ORDER AND UNDERTAKING

Be it remembered that Aristides Dionysios Priakos ("Respondent"), appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this Disciplinary Order and Undertaking and the Findings of Fact and the Conclusions of Law contained herein.

FINDINGS OF FACT

1. Respondent has waived (a) Respondent's right to notice and hearing in this matter; (b) Respondent's right to appear and present evidence in this matter; (c) Respondent's right to appeal this Order; and (d) all other procedural rights granted to Respondent by The Securities Act, TEX. REV. CIV. STAT. ANN. art. 581-1 et seq. (Vernon 1964 & Supp. 2000) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon Supp. 2000) ("Administrative Procedure Act").
2. Respondent sold securities to an individual while he was not registered with the Securities Commissioner as an agent of a dealer as required by Section 12 of the Texas Securities Act.
3. Respondent has fully cooperated with the Staff in its investigation of his conduct.

UNDERTAKING

Respondent agrees to comply with the terms of this Undertaking should he become registered with the Securities Commissioner or rely upon an exemption from registration in the offer and sale of securities:

1. Respondent will not solicit the sale of inverse floating rate securities to individual investors for a period of two years from the date of this Order.
2. Respondent will obtain information from the client regarding the client's financial background and investment objectives, including but not limited to net worth, net income, prior investment experience, other securities holdings and knowledge of securities markets and products, prior to soliciting the sale or selling any securities to his clients.
3. Respondent will document in writing the information obtained pursuant to number two of this Undertaking and maintain this information for at least two years after the termination of his relationship with a client.
4. Respondent will update in writing the information obtained pursuant to number two of this Undertaking with the client at least one time each calendar year.
5. Respondent will not sell securities to his clients which are unsuitable based on the information obtained from the client pursuant to number two of this Undertaking.
6. Respondent will not offer or sell securities from within the State of Texas or to a Texas resident unless registered with the Securities Commissioner or exempt.

CONCLUSIONS OF LAW

1. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violation of the Texas Securities Act constitutes a basis for the issuance of an order assessing an administrative fine against an agent.

ORDER

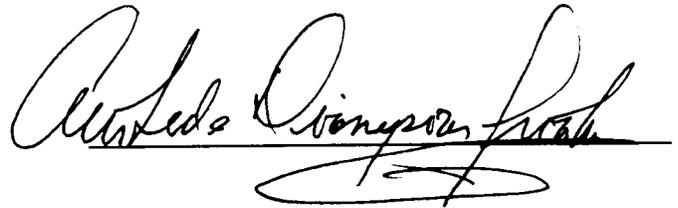
1. It is therefore ORDERED that Respondent is ASSESSED AN ADMINISTRATIVE FINE in the amount of Five Hundred Dollars (\$500.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Five Hundred Dollars (\$500.00), payable to the State of Texas, contemporaneously with the delivery of this Order.
2. It is further ORDERED that Respondent is required to comply with the terms of the Undertaking contained in this Order.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 12th day
of January, 2000.


DENISE VOIGT-CRAWFORD
Securities Commissioner

Respondent:

Aristides Dionysios Priakos



Approved as to
Form:



Michael S. Gunst
Director
Dealer Registration Division



Charles S. Neal
Assistant Director
Enforcement Division

ACKNOWLEDGMENT

On the 10th day of January, 2000, Aristides Dionysios Priakos, Respondent, personally appeared before me, executed the foregoing Order and Undertaking, and acknowledged that:

1. Respondent has read the foregoing Order and Undertaking;
2. Respondent has been fully advised of Respondent's rights under The Securities Act and the Administrative Procedure Act;
3. Respondent knowingly and voluntarily consents to the entry of the foregoing Order and Undertaking and the Findings of Fact and Conclusions of Law contained therein; and,
4. Respondent, by consenting to the entry of the foregoing Order and Undertaking, has knowingly and voluntarily waived Respondent's rights as set forth therein.



Notary Public in and for
the State of TEXAS

[affix notary seal here]

My commission expires on: 11-30-2003

