

BrokerCheck Report

DOMINICK & DICKERMAN LLC

CRD# 7344

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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.

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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



For additional information about the contents of this report, please refer to the User Guidance or 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)

DOMINICK & DICKERMAN LLC

CRD# 7344

SEC# 8-21076

Main Office Location

1700 EAST PUTNAM AVE
SUITE 202
OLD GREENWICH, CT 06870

Mailing Address

1700 EAST PUTNAM AVE
SUITE 202
OLD GREENWICH, CT 06870

Business Telephone Number

646-780-8454

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 09/30/1998.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	23
Arbitration	11
Bond	1

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 07/20/2020

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 09/30/1998.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

DOMINICK & DICKERMAN LLC

Doing business as DOMINICK & DICKERMAN LLC

CRD# 7344

SEC# 8-21076

Main Office Location

1700 EAST PUTNAM AVE
SUITE 202
OLD GREENWICH, CT 06870

Mailing Address

1700 EAST PUTNAM AVE
SUITE 202
OLD GREENWICH, CT 06870

Business Telephone Number

646-780-8454



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	DM TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	12/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DERBY WEST LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	TRUSTEE OF DM TRUST
Position Start Date	01/2004
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HLADEK, ROBERT MICHAEL
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	05/2015
Percentage of Ownership	Less than 5%

Firm Profile**Direct Owners and Executive Officers (continued)**

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HLADEK, ROBERT MICHAEL
2199923

Is this a domestic or foreign entity or an individual? Individual

Position SR. VICE PRESIDENT, CHIEF COMPLIANCE OFFICER

Position Start Date 11/1995

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

No information reported.

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 09/30/1976 to 09/21/2020.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - INVESTMENT BANKING WHICH INCLUDES THE FOLLOWING:

MERGERS & ACQUISITIONS

IPO'S AND FOLLOW-ON OFFERINGS BEST EFFORTS

PRIVATE CAPITAL PLACEMENTS

RECAPITALIZATION & RESTRUCTURINGS

STRATEGIC ADVISORY

VALUATION ANALYSES & FAIRNESS OPINIONS

PIPES AND REGISTERED DIRECTS

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: MERGERS AND ACQUISITIONS, RECAPITALIZATION & RESTRUCTURING, VALUATION ANALYSES & FAIRNESS OPINIONS, STRATEGIC ADVISORY

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	23	0
Arbitration	N/A	11	N/A
Bond	N/A	1	N/A

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 23

Reporting Source: Regulator

Current Status: Final



Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO ESTABLISH AND MAINTAIN A SYSTEM TO REASONABLY SUPERVISE AND MONITOR CUSTOMER ACCOUNTS FOR MANIPULATIVE TRADING ACTIVITY, SUCH AS POTENTIAL MARKET MANIPULATION, INCLUDING PRE-ARRANGED OR MATCHED TRADING. THE FINDINGS STATED THAT THE FIRM WAS ALSO DEFICIENT IN ITS IMPLEMENTATION OF THE FIRM'S SUPERVISORY SYSTEM TO ENSURE COMPLIANCE WITH AML POLICIES AND PROCEDURES REASONABLY DESIGNED TO DETECT AND CAUSE THE REPORTING OF POTENTIALLY SUSPICIOUS TRANSACTIONS RELATED TO DEPOSITS AND LIQUIDATIONS OF LOW-PRICED SECURITIES. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO DEVELOP AND IMPLEMENT ITS AML PROGRAM REASONABLY DESIGNED TO ACHIEVE AND MONITOR COMPLIANCE WITH THE REQUIREMENTS OF THE BANK SECRECY ACT. SPECIFICALLY, THE FIRM FAILED TO REASONABLY SUPERVISE AND MONITOR CUSTOMER ACCOUNTS FOR MANIPULATIVE TRADING, AND FAILED TO DETECT AND INVESTIGATE "RED FLAGS" INDICATIVE OF POTENTIALLY SUSPICIOUS ACCOUNT ACTIVITY, INCLUDING TRANSACTIONS THAT COULD HAVE BEEN PREARRANGED OR MATCHED TRADING AND THE DEPOSIT AND LIQUIDATIONS OF LOW-PRICED SECURITIES FOR IMPERMISSIBLE PURPOSES. THE FINDINGS ALSO INCLUDED THAT FOR EQUITY TRADES, THE FIRM CHARGED CERTAIN CUSTOMERS EXCESSIVE COMMISSIONS GREATER THAN 5% AND/OR, DEPENDING ON THE DOLLAR AMOUNT OF CERTAIN TRANSACTIONS, GREATER THAN THE FIRM'S \$100 MINIMUM TRANSACTION CHARGE. AS A RESULT, THE FIRM CHARGED NET EXCESSIVE COMMISSIONS TOTALING \$17,425 RELATING TO 236 UNIQUE CUSTOMER ACCOUNTS AND 420 EQUITY TRADES.

Initiated By: FINRA

Date Initiated: 04/07/2017

Docket/Case Number: [2014041218901](#)

Principal Product Type: Other

Other Product Type(s): LOW-PRICED SECURITIES; EQUITY TRADES

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: N/A

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/07/2017



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00
Disgorgement/Restitution

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED, FINED \$20,000, AND ORDERED TO PAY \$17,425 IN RESTITUTION TO CUSTOMERS. A LOWER FINE WAS IMPOSED AFTER CONSIDERING, AMONG OTHER THINGS, THE FIRM'S REVENUE AND FINANCIAL RESOURCES. FINE PAID IN FULL ON JUNE 2, 2017.

Reporting Source: Firm

Current Status: Final

Allegations: DURING AN AUDIT OF THE FIRM IT WAS ALLEGED THE FIRM FAILED TO REASONABLY IMPLEMENT ITS SUPERVISORY AND AML PROCEDURES REGARDING PURCHASE OF LOW PRICED SECURITIES AND SUSPICIOUS ACTIVITY. CHARGED EXCESSIVE COMMISSIONS ABOVE THE 5% GUIDELINE

Initiated By: FINRA

Date Initiated: 04/07/2017

Docket/Case Number: [2014041218901](#)

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Restitution

Other Sanction(s)/Relief Sought: A CENSURE, \$20,000 FINE AND RESTITUTION TO CUSTOMERS DUE TO EXCESSIVE COMMISSION CHARGES TOTAL \$17,425 TO A TOTAL OF 236 CUSTOMERS

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/07/2017

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00
Disgorgement/Restitution



Other Sanctions Ordered: RESTITUTION TO CUSTOMERS DUE TO EXCESSIVE COMMISSION . TOTAL RESTITUTION 17,425.00.

Sanction Details: RESTITUTION TO CUSTOMERS DUE TO EXCESSIVE COMMISSION TOTAL RESTITUTION 17,425.00. \$20,000.00 FINE BEING PAID IN INSTALLMENTS. RESTITUTION TO CUSTOMERS IS BEING DONE.

Disclosure 2 of 23

Reporting Source: Firm

Current Status: Final

Allegations: THIS ACTION RELATES TO DOMINICK & DOMINICK'S 2009 AND 2011 INSURANCE LICENSE RENEWAL APPLICATIONS FOR NEW YORK STATE. IN THOSE RENEWALS, THE FIRM INTERPRETED IN GOOD FAITH A QUESTION REGARDING WHETHER IT OR ANY MEMBER OR MANAGER HAD "EVER BEEN INVOLVED IN AN ADMINISTRATIVE PROCEEDING REGARDING ANY PROFESSIONAL OR OCCUPATIONAL LICENSE" AS REQUIRING A "YES" ANSWER ONLY INsofar AS THE ADMINISTRATIVE PROCEEDING SPECIFICALLY RELATED TO LICENSING OR REGISTRATION ISSUES. THE FIRM DID NOT INTERPRET THIS QUESTION AS REQUIRING DISCLOSURE OF ALL REGULATORY MATTERS, INCLUDING THE TWO MATTERS THAT WERE THE SUBJECT OF THE STIPULATION AND WHICH WERE ALREADY DISCLOSED AND AVAILABLE TO STATE REGULATORS THROUGH FINRA'S CRD SYSTEM. THE NEW YORK DEPARTMENT OF FINANCIAL SERVICES DETERMINED THAT THE FIRM'S RESPONSES ON THE RENEWAL APPLICATIONS VIOLATED NEW YORK INSURANCE LAW SECTION 2110. IN ORDER TO EXPEDITIOUSLY RESOLVE THE MATTER WITHOUT JEOPARDY TO THE FIRM OR ITS SUBLICENSEES' NEW YORK STATE INSURANCE LICENSES, THE PARTIES ENTERED INTO THE STIPULATION.

Initiated By: NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

Date Initiated: 12/02/2014

Docket/Case Number: 2014-0225-S

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Stipulation and Consent



Resolution Date: 12/02/2014

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details: ENTERED INTO STIPULATION WITH NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES AND A PENALTY OF \$1,500.

Disclosure 3 of 23

Reporting Source: Regulator

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT THOUGH IT WAS A MEMBER OF BATS EXCHANGE, INC. (BATS) AT THE TIME, THE FIRM FAILED TO PROVIDE BATS A COPY OF ITS ANNUAL AUDIT FOR THE FISCAL YEAR ENDING ON DECEMBER 31, 2012 AS REQUIRED BY SECURITIES EXCHANGE ACT OF 1934 RULE 17A-5(D)(6). AS A RESULT, THE FIRM VIOLATED SECURITIES EXCHANGE ACT OF 1934 RULE 17A-5(D)(6).

Initiated By: BATS Z-EXCHANGE, INC.

Date Initiated: 11/04/2014

Docket/Case Number: 2014041900901

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/04/2014

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**

Sanction Details: THE FIRM WAS CENSURED AND FINED \$2,500.

Reporting Source: Firm

Current Status: Final

Allegations: ON NOVEMBER 4, 2014, DOMINICK & DOMINICK LLC ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT WITH THE FINANCIAL INDUSTRY REGULATORY AUTHORITY ("FINRA") FOR ITS FAILURE TO FILE A COPY OF ITS ANNUAL AUDIT REPORT FOR THE YEAR ENDING DECEMBER 31, 2012 WITH THE BATS EXCHANGE, INC., THEREBY VIOLATING RULE 17A-5(D)(6) OF THE SECURITIES & EXCHANGE ACT OF 1934.

Initiated By: BATS Z-EXCHANGE, INC.

Date Initiated: 11/04/2014

Docket/Case Number: 2014041900901

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/04/2014

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$2,500.

Disclosure 4 of 23

Reporting Source: Regulator

Current Status: Final

Allegations: SEC ADMIN RELEASE 34-72694; IA RELEASE 40-3881, JULY 28, 2014: THE SEC DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND



HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTIONS 203(E) AND 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940, AGAINST DOMINICK & DOMINICK LLC. IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, THE FIRM HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER IT AND THE SUBJECT MATTER OF THESE PROCEEDINGS, WHICH ARE ADMITTED, THE FIRM CONSENTS TO THE ENTRY OF THIS ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTIONS 203(E) AND 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS AND CEASE-AND-DESIST ORDERS. THIS MATTER CONCERNS BREACHES OF FIDUCIARY DUTY TO CERTAIN ADVISORY CLIENTS BY THE FIRM, A DUALLY REGISTERED INVESTMENT ADVISER AND BROKER-DEALER, IN VIOLATION OF THE ADVISERS ACT. FIRST, FOR THOSE CLIENTS WHO PARTICIPATED IN THE FIRM'S "COMMISSION-ONLY" AND "FEE PLUS COMMISSION" ADVISORY PROGRAMS, IT DID NOT SEEK BEST EXECUTION IN THAT ITS BEST EXECUTION ANALYSES DID NOT ACCOUNT FOR BROKERAGE COMMISSIONS. FURTHER, THE FIRM'S BEST EXECUTION ANALYSES DID NOT ANALYZE THE COMMISSIONS BEING CHARGED TO THESE ADVISORY CLIENTS AFTER IT NEGOTIATED A REDUCTION IN EXECUTION AND CLEARING COSTS WITH ITS CLEARING FIRM IN 2010. SECOND, THE FIRM FAILED TO DISCLOSE A CONFLICT OF INTEREST INVOLVING ITS CLEARING FIRM-THAT IT RECEIVED REBATES CONSISTING OF A SIGNIFICANT PORTION OF THE INTEREST THESE ADVISORY CLIENTS PAID THE CLEARING FIRM FOR MARGIN LOANS. AS A RESULT OF THIS CONDUCT, THE FIRM WILLFULLY VIOLATED SECTION 206(2) OF THE ADVISERS ACT. THE FIRM VIOLATED THE ADVISERS ACT BY NOT ADOPTING AND IMPLEMENTING WRITTEN BEST EXECUTION POLICIES AND PROCEDURES REASONABLY DESIGNED TO PREVENT VIOLATION OF THE ADVISERS ACT. AS A RESULT OF THIS CONDUCT, THE FIRM WILLFULLY VIOLATED SECTION 206(4) OF THE ADVISERS ACT AND RULE 206(4)-7 PROMULGATED THEREUNDER. THE FIRM ENGAGED IN TRANSACTIONS WITH ADVISORY CLIENTS ON A PRINCIPAL BASIS WITHOUT OBTAINING CLIENT CONSENT BEFORE COMPLETING THE TRANSACTIONS. AS A RESULT OF THIS CONDUCT, THE FIRM WILLFULLY VIOLATED SECTION 206(3) OF THE ADVISERS ACT. THE FIRM MADE INACCURATE STATEMENTS IN ITS FORM ADV CONCERNING BEST EXECUTION AND PRINCIPAL TRANSACTIONS, AND OMITTING DISCLOSURE OF REBATES RECEIVED ON MARGIN LOAN INTEREST. AS A RESULT OF THIS CONDUCT, THE FIRM



WILLFULLY VIOLATED SECTION 207 OF THE ADVISERS ACT.

Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 07/28/2014

Docket/Case Number: 3-15987

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES

Principal Sanction(s)/Relief Sought: Undertaking

Other Sanction(s)/Relief Sought: CEASE AND DESIST; CENSURE; DISGORGEMENT; PREJUDGMENT INTEREST; CIVIL MONETARY PENALTY

Resolution: Order

Resolution Date: 07/28/2014

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$75,000.00
Disgorgement/Restitution
Cease and Desist/Injunction

Other Sanctions Ordered: THE FIRM SHALL COMPLY WITH THE UNDERTAKING TO ENGAGE FOR ONE YEAR A QUALIFIED CONSULTANT TO ASSIST IT IN DEVELOPING AND IMPLEMENTING POLICIES AND PROCEDURES REASONABLY DESIGNED TO PROMOTE THE FIRM'S COMPLIANCE WITH THE ADVISERS ACT, INCLUDING BEST EXECUTION AND RELATED DISCLOSURE OBLIGATIONS FOR ADVISORY CLIENTS, AND ITS OBLIGATIONS UNDER SECTION 206(3) REGARDING PRINCIPAL TRANSACTIONS.

THE FIRM IS ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 206(2), 206(3), 206(4), AND 207 OF THE ADVISERS ACT AND RULE 206(4)-7 PROMULGATED THEREUNDER.

THE FIRM SHALL, WITHIN 10 DAYS OF THE ENTRY OF THIS ORDER, PAY DISGORGEMENT OF \$136,523.00 AND PREJUDGMENT INTEREST OF \$11,083.60.



THE FIRM SHALL, WITHIN 10 DAYS OF THE ENTRY OF THE ORDER, PAY THE CIVIL MONETARY PENALTY TO THE SEC.

Sanction Details:

SEE ABOVE

Regulator Statement

IN DETERMINING TO ACCEPT THE OFFERS, THE COMMISSION CONSIDERED REMEDIAL ACTS PROMPTLY UNDERTAKEN BY THE FIRM AND COOPERATION AFFORDED THE COMMISSION STAFF. SPECIFICALLY, THE FIRM REVISED ITS BEST EXECUTION POLICIES AND PROCEDURES TO INCLUDE CONSIDERATION OF THE TOTAL COST OF EFFECTING ADVISORY CLIENT TRANSACTIONS. FURTHER, THE FIRM RETAINED A CONSULTANT TO ASSIST IT IN DEVELOPING AND IMPLEMENTING POLICIES AND PROCEDURES REASONABLY DESIGNED TO PROMOTE THE FIRM'S COMPLIANCE WITH THE ADVISERS ACT, INCLUDING ITS BEST EXECUTION AND RELATED DISCLOSURE OBLIGATIONS FOR ADVISORY CLIENTS.

Reporting Source:

Firm

Current Status:

Final

Allegations:

ALLEGED VIOLATIONS OF ADVISERS ACT SECTIONS 206(2), 206(3), 207, 206(4) AND RULE 206(4)-7 THEREUNDER RELATED TO THE ADOPTION AND IMPLEMENTATION OF THE FIRM'S BEST EXECUTION POLICIES AND PROCEDURES; DISCLOSURE OBLIGATIONS REGARDING REBATES RECEIVED ON MARGIN LOANS; AND ITS OBLIGATIONS UNDER SECTION 206(3) REGARDING PRINCIPAL TRADES.

Initiated By:

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated:

07/28/2014

Docket/Case Number:

3-15987

Principal Product Type:

Other

Other Product Type(s):

UNSPECIFIED SECURITIES

Principal Sanction(s)/Relief Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

CEASE AND DESIST, CENSURE, DISGORGEMENT

Resolution:

Order

Resolution Date:

07/28/2014

Sanctions Ordered:

Censure
Monetary/Fine \$75,000.00
Disgorgement/Restitution



Cease and Desist/Injunction

Other Sanctions Ordered:

THE FIRM SHALL COMPLY WITH THE UNDERTAKING TO ENGAGE FOR ONE YEAR A QUALIFIED CONSULTANT TO ASSIST IT IN DEVELOPING AND IMPLEMENTING POLICIES AND PROCEDURES REASONABLY DESIGNED TO PROMOTE THE FIRM'S COMPLIANCE WITH THE ADVISERS ACT, INCLUDING BEST EXECUTION AND RELATED DISCLOSURE OBLIGATIONS FOR ADVISORY CLIENTS, AND ITS OBLIGATIONS UNDER SECTION 206(3) REGARDING PRINCIPAL TRANSACTIONS.

Sanction Details:

CIVIL MONETARY PENALTY OF \$75,000; DISGORGEMENT OF \$136,523; PREJUDGMENT INTEREST OF \$11,083.60; RETENTION OF QUALIFIED CONSULTANT. PENALTY TO BE PAID WITHIN 10 DAYS OF THE ENTRY OF THE ORDER. NO PORTION OF THE PENALTY WAS WAIVED.

Firm Statement

IN DETERMINING TO ACCEPT THE OFFER, THE COMMISSION CONSIDERED REMEDIAL ACTS PROMPTLY UNDERTAKEN BY THE FIRM AND COOPERATION AFFORDED THE COMMISSION STAFF. SPECIFICALLY, THE FIRM REVISED ITS BEST EXECUTION POLICIES AND PROCEDURES TO INCLUDE CONSIDERATION OF THE TOTAL COST OF EFFECTING ADVISORY CLIENT TRANSACTIONS. FURTHER, THE FIRM RETAINED A CONSULTANT TO ASSIST IT IN DEVELOPING AND IMPLEMENTING POLICIES AND PROCEDURES REASONABLY DESIGNED TO PROMOTE THE FIRM'S COMPLIANCE WITH THE ADVISERS ACT, INCLUDING ITS BEST EXECUTION AND RELATED DISCLOSURE OBLIGATIONS FOR ADVISORY CLIENTS.

Disclosure 5 of 23

Reporting Source:

Regulator

Current Status:

Final

Allegations:

NASD RULES 2110, 2440, 3010, INTERPRETATIVE MATERIAL 2440 - RESPONDENT MEMBER BOUGHT/SOLD A SECURITY FOR ITS OWN ACCOUNT FROM/TO ANOTHER BROKER DEALER AND FAILED TO SELL/BUY THE SECURITY TO/FROM A FIRM CUSTOMER AT A PRICE THAT WAS FAIR AND REASONABLE, TAKING INTO CONSIDERATION ALL RELEVANT CIRCUMSTANCES, INCLUDING MARKET CONDITIONS WITH RESPECT TO THE SECURITY AT THE TIME OF THE TRANSACTION, THE EXPENSE INVOLVED AND THAT THE FIRM WAS ENTITLED TO A PROFIT. THE FINDINGS STATED THAT THE FIRM FAILED TO ADEQUATELY ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES TO ENSURE COMPLIANCE WITH THE APPLICABLE LAWS, REGULATIONS AND NASD RULES CONCERNING FAIR PRICING AND MARKUPS.

Initiated By:

NASD

Date Initiated:

07/11/2007



Docket/Case Number: [2005000600601](#)

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/11/2007

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$18,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, DOMINICK & DOMINICK LLC., CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED \$18,000.

Reporting Source: Firm

Current Status: Final

Allegations: NASD RULES 2110, 2440, 3010, INTERPRETATIVE MATERIAL 2440 -IN EIGHT (8) INSTANCES DURING A REVIEW PERIOD IN 2004, RESPONDENT MEMBER BOUGHT/SOLD A SECURITY FOR ITS OWN ACCOUNT FROM/TO ANOTHER BROKER DEALER AND FAILED TO SELL/BUY THE SECURITY TO/FROM A FIRM CUSTOMER AT A PRICE THAT WAS FAIR AND REASONABLE, TAKING INTO CONSIDERATION ALL RELEVANT CIRCUMSTANCES, INCLUDING MARKET CONDITIONS WITH RESPECT TO THE SECURITY AT THE TIME OF THE TRANSACTION, THE EXPENSE INVOLVED AND THAT THE FIRM WAS ENTITLED TO A PROFIT. THE FINDINGS STATED THAT THE FIRM FAILED TO ADEQUATELY ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES TO ENSURE COMPLIANCE WITH THE APPLICABLE LAWS, REGULATIONS AND NASD RULES CONCERNING FAIR PRICING AND MARKUPS.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS



Date Initiated: 07/11/2007

Docket/Case Number: 20050006006-01

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/11/2007

Sanctions Ordered: Censure
Monetary/Fine \$18,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, DOMINICK & DOMINICK LLC CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED \$18,000.00

Firm Statement WHEN THE FIRM BECAME AWARE OF THE MARKUPS IN QUESTION, THE FIRM PROMPTLY ADJUSTED THE MARKUPS TO BE CONSISTENT WITH FIRM GUIDELINES, ENHANCED THE FIRM'S POLICIES AND PROCEDURES AND IMPLEMENTED ADDITIONAL TRAINING PRIOR TO ANY REGULATORY ACTION.

Disclosure 6 of 23

Reporting Source: Regulator

Current Status: Final

Allegations: NASD RULES 2110 AND 6230 - DURING THE PERIOD FROM OCTOBER 1, 2005, THROUGH DECEMBER 31, 2005, THE FIRM FAILED TO TIMELY REPORT 19 OF 46 CORPORATE BOND TRANSACTIONS TO THE TRADE REPORTING AND COMPLIANCE ENGINE ("TRACE").

Initiated By: NASD

Date Initiated: 03/19/2007

Docket/Case Number: 2006003685901

Principal Product Type: Debt - Corporate

**Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:** Acceptance, Waiver & Consent(AWC)**Resolution Date:** 03/19/2007**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Sanctions Ordered:** Monetary/Fine \$5,000.00**Other Sanctions Ordered:****Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE IT IS FINED \$5,000.00.**Reporting Source:** Firm**Current Status:** Final**Allegations:** NASD RULES 2110 AND 6230 - DURING THE PERIOD FROM OCTOBER 1, 2005, THROUGH DECEMBER 31, 2005, THE FIRM (BROKER/DEALER) FAILED TO TIMELY REPORT 19 OF 46 CORPORATE BOND TRANSACTIONS TO THE TRADE REPORTING AND COMPLIANCE ENGINE ("TRACE").**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS ("NASD")**Date Initiated:** 03/19/2007**Docket/Case Number:** 2006003685901**Principal Product Type:** Debt - Corporate**Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:**



Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/19/2007
Sanctions Ordered:	Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTION OF A \$5,000.00 FINE AND THE ENTRY OF FINDINGS.
Firm Statement	SEE RESPONSE TO ITEMS 7 AND 12 ABOVE.

Disclosure 7 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	THE FIRM ALLEGEDLY FAILED TO MAINTAIN REQUIRED RESERVE ACCOUNT LEVEL, FAILED TO OBTAIN SECURITIES WITHIN TIME REQUIRED, MADE DEPOSITS AFTER CUT-OFF TIME, AND WITHDRAWALS WITHOUT REQUIRED CALCULATIONS. FAILURE TO COOPERATE, FAILURE TO PROVIDE DOCUMENTS.
Initiated By:	NEW YORK STOCK EXCHANGE, INC.
Date Initiated:	01/01/1993
Docket/Case Number:	95-13
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Consent
Resolution Date:	03/01/1995
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	THE HEARING PANEL IMPOSED THE PENALTY CONSENTED TO BY THE FIRM OF A CENSURE AND A \$20,000.00 FINE.
Sanction Details:	IN VIEW OF THE FINDINGS, THE HEARING PANEL IMPOSED THE PENALTY CONSENTED TO BY THE FIRM OF A CENSURE AND A \$20,000.00 FINE.

**Firm Statement**

ALL OF THE DEFICIENCIES WERE INADVERTENT AND CAUSED NO CUSTOMER HARM. SOME WERE ATTRIBUTABLE TO MISTAKES ON THE PART OF A BANK. SOME RELATED TO SINCE-DISCONTINUED ACTIVITIES. IN OTHER CASES, AFTER THE EXAMINATION, RECORDS WERE FOUND SHOWING THAT THERE HAD IN FACT BEEN NO DEFICIENCIES. ALL OTHER DEFICIENCIES WERE PROMPTLY REMEDIED.

Disclosure 8 of 23

Reporting Source: Regulator

Current Status: Final

Allegations: 10/18/00GS: NASD RULES 2110 AND 3010 - RESPONDENT MEMBER FAILED TO HONOR ITS PUBLISHED QUOTATION AT ITS PUBLISHED BID OR PUBLISHED OFFER IN AN AMOUNT UP TO ITS PUBLISHED QUOTATION SIZE; AND, THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS AND REGULATIONS CONCERNING THE SEC'S AND NASD'S FIRM QUOTE RULE.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 09/27/2000

Docket/Case Number: CMS000201

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/27/2000

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: 02-27-01, \$10,000 PAID 10/30/00, INVOICE 00-MS-706

Reporting Source: Firm



Current Status: Final

Allegations: ON AUGUST 3, 2000 THE FIRM WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS VOLUNTARILY CONSENTED TO THE FOLLOWING FINDINGS OF NASD REGULATION. THE FIRM VIOLATED SEC RULE 11AC1-1, NASD CONDUCT RULE 3320 AND NASD MARKET PLACE RULE 4613(B) BY FAILING TO EXECUTE CERTAIN ORDERS AT ITS PUBLISHED QUOTE IN SEVERAL SECURITIES DURING THE PERIOD APRIL 1, 1998 THROUGH AUGUST 31, 1998, AND THE FIRM'S SUPERVISION DID NOT PROVIDE FOR SUPERVISORY PROCEDURES DESIGNED TO ACHIEVE COMPLIANCE WITH THOSE RULES.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Date Initiated: 09/27/2000

Docket/Case Number: CMS000201

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought: RELIEF SOUGHT

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/27/2000

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: A CENSURE AND A \$10000.00 FINE (\$5000.00 FINE FOR VIOLATIONS OF THE SEC'S AND NASD'S FIRM QUOTE RULES AND A \$5000.00 FINE FOR THE SUPERVISION VIOLATIONS). THE FINE WAS PAID ON OCTOBER 26, 2000.

Firm Statement THE FIRM WITHOUT ADMITTING OR DENYING THE CHARGES CONSENTED TO A \$10000.00 FINE WITH RESPECT TO THE CHARGES THAT THEY VIOLATED SEC RULE 11AC1-1 AND NASD



 CONDUCT RULE 3320 AND NASD MARKET PLACE RULE 4613(B).

Disclosure 9 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	MSRB RULE G-12
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	08/31/1978
Docket/Case Number:	NY-1970
Principal Product Type:	Debt - Corporate
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	10/02/1979

Disclosure 10 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	OFFER OR SALE BY UNLICENSED/UNREGISTERED PERSON.
Initiated By:	THE STATE OF MASSACHUSETTS - MASSACHUSETTS SECURITIES DIVISION
Date Initiated:	04/01/1980
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	REPRIMAND



Sought:	SUSPENSION
Resolution:	Decision
Resolution Date:	04/18/1980
Sanctions Ordered:	Monetary/Fine \$1,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	THE SECURITIES DIVISION SUSPENDED THE FIRM FROM TRANSACTING ANY NEW BUSINESS IN MASSACHUSETTS FOR A PERIOD OF 30 DAYS AND ISSUED LETTERS OF REPREMAND TO SIX FORMER FIRM EMPLOYEES. THE FIRM WAS FINED \$1,000.00
Firm Statement	THE FIRM HANDLED ACCOUNTS ON A CORRESPONDENT BASIS FOR HOLDEN & CO. HOLDEN & CO. UNEXPECTEDLY WENT OUT OF BUSINESS AND THE FIRM FOUND ITSELF DEALING DIRECTLY WITH HOLDEN INVESTORS AND AT THAT TIME SIX FIRM EMPLOYEES WERE NOT REGISTERED AS AGENTS IN MASSACHUSETTS.

Disclosure 11 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	THE FIRM EFFECTED OPTION TRANSACTIONS WITHOUT FIRST QUALIFYING AN OFFICER OF THE FIRM AS A REGISTERED OPTION PRINCIPAL. THE FIRM FAILED TO MAINTAIN A RECORD OF ESSENTIAL FACTS WITH RESPECT TO THE CURRENT FINANCIAL SITUATION AND INVESTMENT OBJECTIVES OF CUSTOMER ACCOUNTS. THE FIRM FAILED TO OBTAIN WRITTEN OPTION ACCOUNT AGREEMENTS.
Initiated By:	AMERICAN STOCK EXCHANGE
Date Initiated:	06/01/1978
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	



Resolution:	Decision
Resolution Date:	06/01/1978
Sanctions Ordered:	Monetary/Fine \$4,000.00
Other Sanctions Ordered:	
Sanction Details:	DOMINICK & DOMINICK WAS REQUIRED TO CERTIFY WITH THE AMEX REGISTERED PERSONNEL TO TRANSACT OPTION BUSINESS WITH THE PUBLIC. THE FIRM WAS FINED \$4,000.00
Firm Statement	DOMINICK & DOMINICK WITHOUT ADMITTING OR DENYING THE CHARGES CONSENTED TO PENALTY WITH AMEX WITH RESPECT TO CHARGES THAT THEY VIOLATED AMEX RULE 290,921 (B) AND 921(C). THE FIRM EFFECTED OPTION TRANSACTIONS WITH A ROP. THE FIRM FAILED TO MAINTAIN RECORDS OF ESSENTIAL FACTS WITH RESPECT TO THE CURRENT FINANCIAL AND INVESTMENT OBJECTIVES OF CUSTOMER ACCOUNTS. THE FIRM FAILED TO OBTAIN WRITTEN OPTION ACCOUNT AGREEMENTS.

Disclosure 12 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	ALLGED FAILURE TO MAKE BONA FIDE PUBLIC OFFERINGS.
Initiated By:	NEW YORK STOCK EXCHANGE, INC.
Date Initiated:	12/28/1969
Docket/Case Number:	NY-1111
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Decision
Resolution Date:	12/28/1969
Sanctions Ordered:	Monetary/Fine \$3,000.00
Other Sanctions Ordered:	
Sanction Details:	DOMINICK & DOMINICK WAS CENSURED AND FINED \$3,000.00



Disclosure 13 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	BACKING AWAY
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	01/01/1972
Docket/Case Number:	N-BA-12
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Decision
Resolution Date:	01/01/1972
Sanctions Ordered:	Monetary/Fine \$200.00
Other Sanctions Ordered:	
Sanction Details:	FIRM WAS FINED \$200.00

Disclosure 14 of 23

Reporting Source:	Firm
Current Status:	Final
Allegations:	MARK-UPS ON MUNICIPAL BONDS WAS FOUND TO BE EXCESSIVE BY THE DISTRICT BUSINESS COMMITTEE.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	08/15/1987
Docket/Case Number:	NY-3063
Principal Product Type:	Debt - Municipal
Other Product Type(s):	



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

Other Sanction(s)/Relief Sought: CENSURE

Resolution: Decision

Resolution Date: 08/15/1987

Sanctions Ordered: Monetary/Fine \$45,000.00

Other Sanctions Ordered:

Sanction Details: DOMINICK & DOMINICK WAS CENSURED AND FINED IN THE AMOUNT OF \$45,000.00 BY THE NASD.

Disclosure 15 of 23

Reporting Source: Firm

Current Status: Final

Allegations: FAILED TO FILE NA VOLUME TRADED.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 01/01/1973

Docket/Case Number: NV-380

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 01/01/1973

Disclosure 16 of 23

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO FILE NA VOLUME TRADED.



Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated: 01/01/1973
Docket/Case Number: NV-274
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Decision
Resolution Date: 01/01/1973

Disclosure 17 of 23

Reporting Source: Firm
Current Status: Final
Allegations: FAILED TO REPORT NA VOLUME SHARES TRADED.
Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated: 01/01/1972
Docket/Case Number: NY 171
Principal Product Type: No Product
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:
Resolution: Decision
Resolution Date: 01/01/1972

Disclosure 18 of 23

Reporting Source: Regulator
Current Status: Final



Allegations:	The Exchange instituted a formal disciplinary proceeding against Dominick & Dominick ("Dominick & Dominick"), a regular member organization of the Exchange. A Stipulation of Facts and Consent to Penalty was subsequently entered into between Dominick & Dominick and the Exchange and was accepted by an Exchange Disciplinary Panel at a hearing held on September 24, 1992. Dominick & Dominick consented to a finding that it violated: Exchange Rule 411, in that the firm failed to diligently and properly supervise a customer's accounts, by knowingly allowing the customer to continue to enter market at close purchase orders for his accounts in Presidio Oil Company Class A common stock ("PRS.A"), when the firm knew or should have known that the purpose behind the customer trading at the close was to keep the price of PRS.A at or above \$5 a share to avoid margin calls.
Initiated By:	AMEX
Date Initiated:	10/30/1992
Docket/Case Number:	91-D-18
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	10/30/1992
Sanctions Ordered:	Monetary/Fine \$20,000.00
Other Sanctions Ordered:	
Sanction Details:	Dominick & Dominick was fined \$20,000.
Regulator Statement	Not Provided
<hr/>	
Reporting Source:	Firm
Current Status:	Final
Allegations:	IT WAS ALLEGED THAT THE FIRM VIOLATED AMEX RULE 411 IN THAT IT FAILED TO DILIGENTLY AND PROPERLY SUPERVISE A REGISTERED



REPRESENTATIVE AND BRANCH OFFICE MANAGER.

Initiated By: AMERICAN STOCK EXCHANGE

Date Initiated: 09/24/1992

Docket/Case Number: 91-0-18

Principal Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 10/20/1992

Sanctions Ordered: Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: ON DECEMBER 18, 1992 THE AMEX ENTERED AN ORDER TO WHICH DOMINICK & DOMINICK CONSENTED WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THEREOF, WHICH FOUND THAT DOMINICK & DOMINICK VIOLATED AMEX RULE 411. THE AMEX FIND DOMINICK & DOMINICK \$20,000.0

Disclosure 19 of 23

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 04/23/1997

Docket/Case Number: CMS960107

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:


Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/23/1997

Sanctions Ordered: Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

LETTER OF ACCEPTANCE, WAIVER & CONSENT NO CMS960107 AWC. ON APRIL 23, 1997, DOMINICK & DOMINICK, INC. (DOMK) WAS NOTIFIED THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT (AWC) IT SUBMITTED WAS ACCEPTED BY THE MARKET REGULATION AND THE NATIONAL BUSINESS CONDUCT COMMITTEES. THE AWC ALLEGES THAT DOMK VIOLATED MARKETPLACE RULE 4730(c)(3) AND CONDUCT RULES 2110 AND 3160 IN THAT THE FIRM ENTERED TWO SPLIT ORDERS INTO SOES WHICH EXCEEDED THE SOES MAXIMUM ORDER SIZE REQUIREMENT FOR THE SECURITIES INVOLVED. IN ADDITION, DOMK FAILED TO ESTABLISH, MAINTAIN AND ENFORCE SUPERVISORY PROCEDURES WHICH WOULD HAVE ENSURED COMPLIANCE WITH THE RULES OF THE ASSOCIATION. DOMK WAS FINED \$2,000.

\$2,000.00 PAID ON 5/19/97, INVOICE #97-MS-401

Reporting Source: Firm

Current Status: Final

Allegations: ALLEGEDLY, THE FIRM ENTERED TWO SPLIT ORDERS INTO SOES WHICH EXCEEDED THE SOES MAXIMUM ORDER SIZE REQUIREMENT FOR THE SECURITIES INVOLVED. IN ADDITION, FIRM ALLEGEDLY FAILED TO ESTABLISH, MAINTAIN AND ENFORCE SUPERVISORY PROCEDURES WHICH WOULD HAVE ENSURED COMPLIANCE WITH THE RULES OF THE ASSOCIATION.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 04/23/1997

Docket/Case Number: CMS960107

Principal Product Type: No Product

Other Product Type(s):



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

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/23/1997

Sanctions Ordered: Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS FINED \$2,000.00 IN VIOLATION OF MARKETPLACE RULE 4730(C)(3) AND CONDUCT RULES 2110 AND 3160.

Disclosure 20 of 23

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 06/05/1991

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 06/05/1991

Sanctions Ordered: Censure
Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

Regulator Statement +6/26/91+ SEC NEWS DIGEST, ISSUE 91-108, DATED JUNE 5, 1991 ADMINISTRATIVE PROCEEDINGS DISCLOSES; "DOMINICK & DOMINICK AND



WERNER ULRICH SANCTIONED"; THE COMMISSION INSTITUTED PROCEEDINGS AGAINST DOMINICK & DOMINICK, INCORPORATED, AND WERNER F. ULRICH PURSUANT TO SECTIONS 15(b), 19(h) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934. SIMULTANEOUSLY, THE COMMISSION ACCEPTED OFFERS OF SETTLEMENT SUBMITTED BY DOMINICK AND ULRICH. THESE PROCEEDINGS ARE RELATED TO IN RE ALBERT DREYFUSS, REL. 34-29242, MAY 29. DOMINICK FAILED TO CREATE CERTAIN REQUIRED RECORDS PERTAINING TO ACCOUNTS SERVICED BY ITS BASEL, SWITZERLAND OFFICE. DOMINICK ALSO FAILED TO KEEP OTHER REQUIRED RECORDS "ACCESSIBLE" AND REFUSE TO MAKE THEM AVAILABLE UPON DEMAND. DOMINICK THEREBY VIOLATED SECTION 17(a) OF THE EXCHANGE ACT AND RULES 17a-3 AND 17a-4 THEREUNDER. ULRICH WILLFULLY AIDED AND ABETTED AND ALSO CAUSED DOMINICK'S VIOLATIONS OF SECTION 17(a) AND RULE 17a-2 THEREUNDER. THE COMMISSION ORDERED DOMINICK AND ULRICH TO CEASE AND DESIST COMMITTING, CAUSING AND/OR AIDING AND ABETTING VIOLATIONS OF THE AFOREMENTIONED PROVISIONS. THE COMMISSION CENSURED DOMINICK AND REQUIRED DOMINICK TO TAKE STEPS TO PREVENT VIOLATIONS OF THOSE PROVISIONS. THE COMMISSION SUSPENDED ULRICH FROM ASSOCIATION WITH AN BROKER, DEALER, INVESTMENT COMPANY OR INVESTMENT ADVISER FOR THREE MONTHS AND BARRED ULRICH FROM SUCH ASSOCIATION IN ANY SUPERVISORY OR PROPRIETARY CAPACITY, WITH A RIGHT TO REAPPLY AFTER FIVE YEARS. (REL. 34-29243)

Reporting Source:	Firm
Current Status:	Final
Allegations:	ALLEGED VIOLATIONS OF SECTION 17(A) AND RULE 17 A-3. THE FIRM, ACTING THROUGH AN INDIVIDUAL, FAILED TO CREATE CERTAIN REQUIRED RECORDS PERTAINING TO ACCOUNTS SERVICED BY IT'S BASEL, SWITZERLAND OFFICE. THE FIRM ALSO FAILED TO KEEP OTHER REQUIRED RECORDS ACCESIBLE AND REFUSED TO MAKE THEM AVAILABLE UPON DEMAND.
Initiated By:	SECURITY & EXCHANGE COMMISSION
Date Initiated:	05/15/1991
Docket/Case Number:	N/A



Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Decision
Resolution Date:	06/05/1991
Sanctions Ordered:	Censure Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	BRANCH MANAGER WAS BARRED FROM ASSOCIATION IN ANY SUPERVISORY OR PROPRIETARY CAPACITY WITH THE RIGHT TO REAPPLY IN FIVE YEARS. HE ALSO RECEIVED A THREE MONTH SUSPENSION FROM ASSOCIATION WITH ANY BROKER-DEALER, INVESTMENT COMPANY, OR INVESTMENT ADVISOR.
Firm Statement	AS TO THE FIRM, A CENSURE ORDER AND A CEASE & DESIST ORDER FROM FUTURE VIOLATIONS WAS ISSUED AND AN UNDERTAKING TO DEVELOP PROCEDURES TO PREVENT FUTURE OCCURENCES WAS REQUIRED.

Disclosure 21 of 23

Reporting Source:	Regulator
Current Status:	Final
Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	09/18/1990
Docket/Case Number:	MS-972-AWC (A)
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	



Resolution: Consent

Resolution Date: 12/10/1990

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement MARKET SURVEILLANCE COMMITTEE COMPLAINT #MS-972-AWC. (A): LETTER OF ACCEPTANCE, WAIVER AND CONSENT FILED SEPTEMBER 18, 1990 ALLEGED VIOLATIONS OF PART VI, SECTION 5(a) OF SCHEDULE D IN THAT RESPONDENTS FAILED TO REPORT THEIR NASDAQ VOLUME. THE LETTER OF ACCEPTANCE, WAIVER ACCEPTED BY THE MARKET SURVEILLANCE COMMITTEE ON OCTOBER 31, 1990 AND BY THE NATIONAL BUSINESS CONDUCT COMMITTEE ON DECEMBER 10, 1990.
\$250.00 FINE
\$250.00 PAID ON 1/29/90 INVOICE #91-MS-50

Reporting Source: Firm

Current Status: Final

Allegations: FAILURE TO REPORT NASDAQ VOLUME.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 09/18/1990

Docket/Case Number: MS-972-AWC(A)

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/10/1990

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details: ACCEPTANCE, WAIVER AND CONSENT, DOMINICK & DOMINICK WAS FINED \$250.00 BY NASD FOR ALLEGED VIOLATIONS OF PART VI, SECTION 5(A) OF



SECHDULE D IN THAT THE FIRM FAILED TO REPORT THEIR NASDAQ VOLUME.

Disclosure 22 of 23

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 06/25/1993

Docket/Case Number: C9B930016

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Consent

Resolution Date: 06/25/1993

Sanctions Ordered: Censure
Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

ON JUNE 25, 1993, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C9B930016 (DISTRICT NO. 9) SUBMITTED BY RESPONDENT DOMINICK & DOMINICK, INC. WAS ACCEPTED; THEREFORE, THE FIRM IS CENSURED AND FINED \$50,000 (ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH ITS BRANCH OFFICE MANAGER, FAILED TO SUPERVISE TWO REGISTERED REPRESENTATIVES PROPERLY, ITS WRITTEN SUPERVISORY PROCEDURES WERE INACCURATE AND FAILED TO REASONABLY PROVIDE FOR APPROPRIATE SUPERVISION OF ITS BRANCH OFFICES AND ACCOUNT REPRESENTATIVES, AND THE FIRM FAILED TO CONDUCT AN ANNUAL BRANCH EXAMINATION OF THE BRANCH OFFICE).

\$50,000.00 PAID ON 7/19/93 INVOICE #93-9B-553

Reporting Source: Firm

Current Status: Final

Allegations: THE FIRM, ACTING THROUGH IT'S BRANCH MANAGER ALLEGEDLY, FAILED TO SUPERVISE TWO REGISTERED REPRESENTATIVES PROPERLY. IT'S WRITTEN SUPERVISORY PROCEDURES WERE INACCURATE AND FAILED TO REASONABLY PROVIDE FOR APPROPRIATE SUPERVISION OF IT'S BRANCH OFFICES AND ACCOUNT REPRESENTATIVES, AND THE FIRM FAILED TO CONDUCT AN ANNUAL BRANCH EXAMINATION OF THE BRANCH OFFICE.

Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Date Initiated: 06/25/1993

Docket/Case Number: C9B930016

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought: CENSURE

Resolution: Consent

Resolution Date: 06/25/1993

Sanctions Ordered: Censure
Monetary/Fine \$50,000.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WITHOUT ADMITTING OR DENYING THE EXISTENCE OF THE ALLEGED MISCONDUCT OR ANY VIOLATIVE ACTIVITY ACCEPTED AND CONSENTED TO THE NASD'S IMPOSITION OF A CENSURE AND FINE OF \$50,000.00



Disclosure 23 of 23

Reporting Source: Regulator

Current Status: Final

Allegations:

Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated: 03/17/1989

Docket/Case Number:

Principal Product Type:

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 03/17/1989

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ^7/2/90^ SEC LITIGATION, ACTIONS AND PROCEEDINGS BULLETIN FOR THE QUARTER ENDING 6/30/89 (VOLUME 55, BULLETIN 02, PAGE 256) DISCLOSES: THE NEW YORK STOCK EXCHANGE FINED DOMINICK & DOMINICK, INC. \$5,000.00 ON MARCH 17, 1989 BASED ON A VIOLATION OF EXCHANGE RULE 132.30 AND FAILURE TO SUBMIT AUDIT TRAIL DATA IN ORDER TO QUALIFIED CLEARING AGENCY REGARDING STOCK TRANSACTIONS FOR THE WEEKS OF 11/15 AND 12/5/88.

Reporting Source: Firm

Current Status: Final

Allegations: THE ALLEGATIONS WERE BASED UPON INSUFFICIENT PAPERWORK, INFORMATION OR AUTHORIZATION CONCERNING NEW ACCOUNT FORMS AND ORDERS; FAILURE TO DOUBLE CHECK EMPLOYEE BACKGROUNDS AND MAINTAIN FINGERPRINT RECORDS; FAILURE TO OBTAIN CLEARING AGREEMENTS FROM SOME CORRESPONDENT FIRMS; FAILURE TO HAVE APPROPRIATE SUPERVISORY PROCEDURES.



Initiated By: NEW YORK STOCK EXCHANGE

Date Initiated: 01/01/1978

Docket/Case Number: N/A

Principal Product Type: No Product

Other Product Type(s):

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

Other Sanction(s)/Relief Sought: CENSURE

Resolution: Decision

Resolution Date: 01/01/1981

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: THE ALLEGATIONS WERE BASED ON INSUFFICIENT PAPERWORK. THE NYSE CENSURED AND FINED DOMINICK & DOMINICK \$5,000.00



Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.

The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 11

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	
Case Number:	89-00549
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES
Sum of All Relief Requested:	\$16,195.48
Disposition:	AWARD AGAINST PARTY
Disposition Date:	01/03/1990
Sum of All Relief Awarded:	\$10,636.80

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 2 of 11

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; ACCOUNT RELATED-NEGLIGENCE; EXECUTIONS-FAILURE TO EXECUTE
Arbitration Forum:	NASD
Case Initiated:	
Case Number:	89-01393
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES

Sum of All Relief Requested: \$50,292.00
Disposition: AWARD AGAINST PARTY
Disposition Date: 04/09/1990
Sum of All Relief Awarded: \$2,410.31

There may be a non-monetary award associated with this arbitration.
 Please select the Case Number above to view more detailed information.

Disclosure 3 of 11

Reporting Source: Regulator
Type of Event: ARBITRATION
Allegations: EXECUTIONS-FAILURE TO EXECUTE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum: NASD
Case Initiated: 01/01/1989
Case Number: [89-02228](#)
Disputed Product Type: NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES
Sum of All Relief Requested: \$550.00
Disposition: AWARD AGAINST PARTY
Disposition Date: 07/26/1990
Sum of All Relief Awarded: \$550.00

There may be a non-monetary award associated with this arbitration.
 Please select the Case Number above to view more detailed information.

Disclosure 4 of 11

Reporting Source: Regulator
Type of Event: ARBITRATION
Allegations: ACCOUNT ACTIVITY-OTHER; ACCOUNT ACTIVITY-SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-NEGLIGENCE
Arbitration Forum: NASD
Case Initiated: 05/14/1990
Case Number: [90-01296](#)



Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
Sum of All Relief Requested: \$225,000.00
Disposition: AWARD AGAINST PARTY
Disposition Date: 05/27/1992
Sum of All Relief Awarded: \$35,000.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 5 of 11

Reporting Source: Regulator
Type of Event: ARBITRATION
Allegations: ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; UNKNOWN TYPE OF CONTROVERSIES
Arbitration Forum: NASD
Case Initiated: 04/05/1991
Case Number: [91-01004](#)
Disputed Product Type: COMMON STOCK; UNKNOWN TYPE OF SECURITIES
Sum of All Relief Requested: \$35,000.00
Disposition: AWARD AGAINST PARTY
Disposition Date: 11/19/1991
Sum of All Relief Awarded: \$20,200.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 6 of 11

Reporting Source: Regulator
Type of Event: ARBITRATION
Allegations: ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum: NASD
Case Initiated: 05/20/1992



Case Number: [91-02737](#)

Disputed Product Type: COMMON STOCK; UNKNOWN TYPE OF SECURITIES

Sum of All Relief Requested: \$35,000.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 03/16/1993

Sum of All Relief Awarded: \$5,412.50

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 7 of 11

Reporting Source: Regulator

Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT ACTIVITY-SUITABILITY; ACCOUNT RELATED-FAILURE TO SUPERVISE

Arbitration Forum: NASD

Case Initiated: 11/06/1991

Case Number: [91-03372](#)

Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE; LIMITED PARTNERSHIPS; MUTUAL FUNDS

Sum of All Relief Requested: \$48,557.47

Disposition: AWARD AGAINST PARTY

Disposition Date: 02/26/1993

Sum of All Relief Awarded: \$21,667.46

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 8 of 11

Reporting Source: Regulator

Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-OTHER; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-



NEGLIGENCE

Arbitration Forum: NASD

Case Initiated: 06/08/1992

Case Number: [92-01878](#)

Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE

Sum of All Relief Requested: Unspecified Damages

Disposition: AWARD AGAINST PARTY

Disposition Date: 07/30/1993

Sum of All Relief Awarded: \$22,704.66

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 9 of 11

Reporting Source: Regulator

Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING; ACCOUNT RELATED-TRANSFER; EXECUTIONS-OTHER

Arbitration Forum: NASD

Case Initiated: 09/04/1992

Case Number: [92-02516](#)

Disputed Product Type: NO OTHER TYPE OF SEC INVOLVE; MUNICIPAL BONDS

Sum of All Relief Requested: \$101,853.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 09/23/1993

Sum of All Relief Awarded: \$29,000.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 10 of 11

Reporting Source: Regulator



Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-FAILURE TO SUPERVISE; TRADING DISPUTES-SELL OUTS

Arbitration Forum: NASD

Case Initiated: 10/08/1997

Case Number: [97-04667](#)

Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE

Sum of All Relief Requested: \$300,000.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 09/22/1998

Sum of All Relief Awarded: \$17,500.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 11 of 11

Reporting Source: Regulator

Type of Event: ARBITRATION

Allegations: ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OMISSION OF FACTS; NO OTHER CONTROVERSY INVOLVED

Arbitration Forum: NASD

Case Initiated: 04/13/1998

Case Number: [98-00749](#)

Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE

Sum of All Relief Requested: \$114,000.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 10/12/1999

Sum of All Relief Awarded: \$4,066.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.



Civil Bond

This type of disclosure event involves a civil bond for the brokerage firm that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Firm
Policy Holder:	DOMINICK & DOMINICK, INC.
Bonding Company Name:	NATIONAL UNION INSURANCE COMPANY
Disposition:	Payout
Disposition Date:	09/01/1992
Payout Details:	PAYOUT AMOUNT \$745,000.00 - PAYOUT DATE SEPTEMBER 1, 1992.
Firm Statement	NATIONAL UNION FIRE INSURANCE COMPANY PAID OUT 745,000.00 ON A BOND TO THE FIRM FOR ACTS OF IT'S FORMER REGISTERED REPRESENTATIVES DEEMED TO BE COVERED BY IT'S BOND. THE FUNDS SO PAID TO THE FIRM REIMBURSED IT IN PART FOR PAYMENTS MADE TO AFFILIATED BROKERAGE CUSTOMERS.

End of Report



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