BrokerCheck Report

DAVID THOMAS PAWLOSKI

CRD# 1438717

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

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.

DAVID T. PAWLOSKI

CRD# 1438717

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

B **DOMINARI SECURITIES LLC**
725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022
CRD# 18975
Registered with this firm since: 10/05/2023

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
- 18 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B **J. ALDEN ASSOCIATES, INC.**
CRD# 40002
Red Bank, NJ
09/2022 - 10/2023

B **CANTELLA & CO., INC.**
CRD# 13905
Red Bank, NJ
01/2018 - 09/2022

B **OPPENHEIMER & CO. INC.**
CRD# 249
PRINCETON, NJ
01/2002 - 01/2018

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
Customer Dispute	6

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 18 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **DOMINARI SECURITIES LLC**

Main Office Address: **725 FIFTH AVENUE, 23RD FL.**
NEW YORK, NY 10022

Firm CRD#: **18975**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/05/2023
B	FINRA	General Securities Representative	Approved	10/05/2023

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	10/05/2023
B	Connecticut	Agent	Approved	10/05/2023
B	Florida	Agent	Approved	10/05/2023
B	Georgia	Agent	Approved	11/13/2023
B	Illinois	Agent	Approved	10/19/2023
B	Iowa	Agent	Approved	05/02/2025
B	Maine	Agent	Approved	10/05/2023
B	Maryland	Agent	Approved	10/06/2023
B	Minnesota	Agent	Approved	03/07/2025
B	New Jersey	Agent	Approved	10/05/2023
B	New York	Agent	Approved	10/05/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	10/05/2023
B	Pennsylvania	Agent	Approved	10/05/2023
B	South Carolina	Agent	Approved	10/05/2023
B	Texas	Agent	Approved	10/05/2023
B	Virginia	Agent	Approved	10/05/2023
B	Washington	Agent	Approved	10/05/2023
B	Wisconsin	Agent	Approved	12/12/2023

Branch Office Locations

DOMINARI SECURITIES LLC
725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022

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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	05/31/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/15/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/28/1986

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/.

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	09/2022 - 10/2023	J. ALDEN ASSOCIATES, INC.	40002	Red Bank, NJ
B	01/2018 - 09/2022	CANTELLA & CO., INC.	13905	Red Bank, NJ
B	01/2002 - 01/2018	OPPENHEIMER & CO. INC.	249	PRINCETON, NJ
B	11/1998 - 01/2002	PRIME CHARTER LTD.	25668	NEW YORK, NY
B	05/1994 - 10/1998	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B	11/1987 - 05/1994	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	04/1986 - 11/1987	OPPENHEIMER & CO., INC.	630	

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
10/2023 - Present	Dominari Securities LLC	Financial Advisor	Y	New York, NY, United States
09/2022 - 10/2023	J Alden Associates, Inc.	Financial Advisor	Y	Wayne, PA, United States
01/2018 - 09/2022	Cantella & Co., Inc.	Financial Advisor	Y	Boston, MA, United States
01/2002 - 01/2018	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR	Y	PRINCETON, NJ, United States

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.

No information reported.

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.
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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.
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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
Customer Dispute	0	6	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	ALLEGATIONS CONCERNING INVESTMENT REATIONALE FOR PURCHASE AND SALE RECOMMENDATIONS. ALLEGED LOSSES OF $23,000.00.
Product Type:	
Alleged Damages:	$23,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/21/1995
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-04050

Date Notice/Process Served:	10/14/1993
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/21/1995
Monetary Compensation Amount:	$500.00
Individual Contribution Amount:	$0.00
Firm Statement	ARBITRATION PANEL AWARDED CLAIMANT [CUSTOMER] $500.00, PAYABLE BY SHEARSON LEHMAN BROTHERS, INC. RESPONDENT CONTINUES TO DENY ANY AND ALL LIABILITY OR WRONGDOING IN THIS MATTER. CLAIMANT ALLEGED LOSSES OF $23,000.00 AND WAS AWARDED ONLY $500.00. WITHOUT EXPLANATION. BROKER DID NOT CONTRIBUTE TO THE AWARD.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	ALLEGATIONS CONCERNING INVESTMENT RATIONAL FOR PURCHASE & SALE RECOMMENDATIONS. ALLEGED LOSSES OF $23K.
Product Type:	Equity - OTC
Alleged Damages:	$23,000.00

Customer Complaint Information

Date Complaint Received:	10/14/1993
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/21/1995
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-04050
Date Notice/Process Served:	10/14/1993
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/21/1995
Monetary Compensation Amount:	$500.00
Individual Contribution Amount:	$0.00
Broker Statement	ARBITRATION PANEL AWARDED CLAIMED CUSTOMER $500 PAYABLE BY SHEARSON LEHMAN BROS. INC. I DENY ANY WRONGDOING OF BLAME. IT WAS SHOWN DURING THE PROCEEDINGS THAT CUSTOMER DID BUSINESS IN HIS LEHMAN BROTHERS ACCOUNT FIRST LIKE ALL OF HIS OTHER MANY ACCOUNTS. THE PANEL DEEMED HIS ACCUSATIONS AS UNTRUE. THE $500.00 SETTLEMENT WAS TO COVER HIS ADMINISTRATIVE & PAPERWORK COSTS. THIS SETTLEMENT WAS PAID FOR BY LEHMAN BROTHERS & I CONTRIBUTED NO MONEY TO THE SETTLEMENT.

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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES THAT UNAUTHORIZED AND UNSUITABLE INVESTMENTS WERE MADE IN THE ACCOUNT. NO SPECIFIC TIME PERIOD, BUT THE CLIENT MENTIONS FEB 2017 - APRIL 2017
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$120,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/25/2017
Complaint Pending?	No
Status:	Settled
Status Date:	10/25/2017
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE RECOMMENDED UNSUITABLE SECURITIES AND CHARGED EXCESSIVE

	FEES AND COMMISSIONS, FROM 3/1/2014 TO 8/31/2015.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-02090
Filing date of arbitration/CFTC reparation or civil litigation:	07/19/2016

Customer Complaint Information

Date Complaint Received:	08/01/2016
Complaint Pending?	No
Status:	Settled
Status Date:	07/20/2017
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLAIM AGAINST FA WAS DISMISSED. FA NOT ASKED TO CONTRIBUTE TOWARD SETTLEMENT.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER
Allegations:	CLIENT ALLEGES PAINEWEBBER AND HIS FA MISREPRESENTED THE VALUE AND FINANCIAL OUTLOOK OF CAPSTEAD MORTGAGE AT THE TIME OF 1/8/98 PURCHASE.

Product Type: Unit Investment Trust(s)

Alleged Damages: $31,000.00

Customer Complaint Information

Date Complaint Received: 09/09/1999

Complaint Pending? No

Status: Settled

Status Date: 12/14/1999

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PAINEWEBBER

Allegations: CLIENT ALLEGES PAINEWEBBER MISREPRESENTIED THE VALUE AND FINANCIAL OUTLOOK OF CAPSTEAD MORTGAGE AT THE TIME OF 01/08/1998 PURCHASE.

Product Type: Unit Investment Trust(s)

Alleged Damages: $31,000.00

Customer Complaint Information

Date Complaint Received: 09/09/1999

Complaint Pending? No

Status: Settled

Status Date: 12/14/1999

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Cantella & Co., Inc.
Allegations:	Client complained about the performance of securities in the account.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$16,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/09/2020
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/08/2020
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES THAT THE FINANCIAL ADVISOR DID NOT FOLLOW HIS INSTRUCTIONS TO SELL A SECURITY DURING APRIL 2014.

Product Type:	Equity-OTC
Alleged Damages:	$11,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/22/2014
Complaint Pending?	No
Status:	Denied
Status Date:	09/02/2014
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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