

BrokerCheck Report

JOHN MARSHALL WILLIAMS

CRD# 2833948

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

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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.

**JOHN M. WILLIAMS**

CRD# 2833948

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

IA DOMINARI SECURITIES LLC
 725 FIFTH AVENUE, 23RD FL.
 NEW YORK, NY 10022
 CRD# 18975
 Registered with this firm since: 10/08/2024

B DOMINARI SECURITIES LLC
 725 FIFTH AVENUE, 23RD FL.
 NEW YORK, NY 10022
 CRD# 18975
 Registered with this firm since: 10/08/2024

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:**

- 2 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 3 State Securities Law Exams

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

- B ALEXANDER CAPITAL, L.P.**
 CRD# 40077
 STATEN ISLAND, NY
 03/2021 - 10/2024
- B ARIVE CAPITAL MARKETS**
 CRD# 8060
 Bay Ridge, NY
 03/2015 - 04/2021
- B SOUTHEAST INVESTMENTS, N.C., INC.**
 CRD# 43035
 Brooklyn, NY
 02/2013 - 03/2015

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 2 SROs and is licensed in 2 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	Compliance Officer	Approved	10/08/2024
B	FINRA	General Securities Principal	Approved	10/08/2024
B	FINRA	General Securities Representative	Approved	10/08/2024
B	FINRA	Municipal Securities Principal	Approved	10/08/2024
B	FINRA	Municipal Securities Representative	Approved	10/08/2024
B	FINRA	Operations Professional	Approved	10/08/2024
B	FINRA	Registered Options Principal	Approved	10/08/2024
B	Nasdaq Stock Market	General Securities Principal	Approved	10/08/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	10/08/2024
B	Nasdaq Stock Market	Registered Options Principal	Approved	10/08/2024

	U.S. State/ Territory	Category	Status	Date
IA	New York	Investment Adviser Representative	Approved	10/08/2024
B	New York	Agent	Approved	10/15/2024
B	Pennsylvania	Agent	Approved	08/06/2025

Broker Qualifications



Employment 1 of 1, continued

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 4 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Municipal Securities Principal Examination	Series 53	04/01/2016
B Registered Options Principal Examination	Series 4	04/16/2004
B General Securities Principal Examination	Series 24	04/12/2000

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/29/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/13/2024
B IA Uniform Combined State Law Examination	Series 66	07/16/2005
B Uniform Securities Agent State Law Examination	Series 63	02/25/1997

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 03/2021 - 10/2024	ALEXANDER CAPITAL, L.P.	40077	STATEN ISLAND, NY
B 03/2015 - 04/2021	ARIVE CAPITAL MARKETS	8060	Bay Ridge, NY
B 02/2013 - 03/2015	SOUTHEAST INVESTMENTS, N.C., INC.	43035	Brooklyn, NY
B 03/2011 - 05/2011	MORGAN STANLEY SMITH BARNEY	149777	PURCHASE, NY
B 12/2006 - 12/2010	J.P. TURNER & COMPANY, L.L.C.	43177	BROOKLYN, NY
B 10/2005 - 11/2006	TRIDENT PARTNERS LTD.	41258	JERICO, NY
B 07/2005 - 11/2005	EURO PACIFIC CAPITAL, INC.	8361	WESTPORT, CT
B 12/2004 - 06/2005	ANDREW GARRETT INC.	29931	NEW YORK, NY
B 04/2003 - 01/2005	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL
B 03/2002 - 04/2003	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX
B 11/2001 - 03/2002	DELTA ASSET MANAGEMENT COMPANY, LLC	39923	MINEOLA, NY
B 03/2000 - 10/2001	LH ROSS & COMPANY, INC.	37920	BOCA RATON, FL
B 05/1998 - 03/2000	BAXTER BANKS & SMITH, LTD.	40771	ST. PETERSBURG, FL
B 03/1998 - 05/1998	HARVESTONS SECURITIES, INC.	34509	GREENWOOD VILLAGE, CO
B 11/1997 - 03/1998	INTERNATIONAL BOND & SHARE, INC.	43196	ST. PETERSBURG, FL
B 05/1997 - 11/1997	WEST AMERICA SECURITIES CORP	35035	LAS VEGAS, NV
B 01/1997 - 05/1997	SMITH, BENTON & HUGHES, INC.	20877	LOS ANGELES, CA

Employment History



Registration and Employment History

Employment History, continued

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
10/2024 - Present	Dominari Securities, LLC	Compliance Officer	Y	New York, NY, United States
03/2015 - Present	ARIVE CAPITAL MARKETS	COMPLIANCE OFFICER	Y	ISELIN, NJ, United States
10/2012 - Present	PHOTOS BY JWILL	PHOTOGRAPHER/OWNER	N	MELVILLE, NY, United States
03/2021 - 10/2024	Alexander Capital, L.P.	Compliance Officer	Y	Red Bank, 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.

1) PHOTOS BY JWILL: PO BOX 1113, MELVILLE, NY 11747. 10/2012. I AM PHOTOGRAPHER/OWNER FOR THIS PHOTOGRAPHY BUSINESS. I WILL DEVOTE 10-15 HOURS PER MONTH TO THIS BUSINESS. I AM COMPENSATED BY FEES.

2) JWill150 Consulting - business and compliance consultant. 7/2017. I will devote 10-15 hours per month. I am compensated by fees.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

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

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



Disclosure Event Details

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

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

Regulatory - Final

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

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	01/03/2001
Docket/Case Number:	SD-01-0003
Employing firm when activity occurred which led to the regulatory action:	LH ROSS & COMPANY, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	PHYSICALLY DENIED AUDITORS OF THE DIVISION ACCESS TO BOOKS AND RECORDS OF THE FIRM, ACTED IN A SUPERVISORY ROLE OVER OFFICE LOCATION WHERE AUDITORS WITNESSED BOOKS AND RECORDS OF THE FIRM BEING HIDDEN AND DISCARDED
Current Status:	Final
Resolution:	Order



Resolution Date:	02/02/2004
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	PROBATION
Sanction Details:	ON APPEAL, THE SANCTION WAS AMENDED TO INCLUDE: 1) ONE YEAR SUSPENSION (ALREADY SERVED); B) SIX-MONTHS PROBATION; AND C) REQUIREMENT OF A SURPRISE AUDIT AT THE FIRM'S EXPENSE.
Regulator Statement	PHYSICALLY DENIED AUDITORS OF THE DIVISION ACCESS TO BOOKS AND RECORDS OF THE FIRM, ACTED IN A SUPERVISORY ROLE OVER OFFICE LOCATION WHERE AUDITORS WITNESSED BOOKS AND RECORDS OF THE FIRM BEING HIDDEN AND DISCARDED. FOR MORE INFORMATION PLEASE CONTACT THE DIVISION AT 801-530-6600 OR VISIT THE DIVISION'S WEB SITE AT: HTTP://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=SD%2D01%2D0003
<hr/>	
Reporting Source:	Broker
Regulatory Action Initiated By:	UTAH DIVISION OF SECURITIES
Sanction(s) Sought:	Revocation
Date Initiated:	01/03/2001
Docket/Case Number:	SD-01-0003
Employing firm when activity occurred which led to the regulatory action:	LH ROSS & COMPANY
Product Type:	No Product
Allegations:	<p>THE STATE OF UTAH ALLEGED THAT I PHYSICALLY DENIED AUDITORS OF THE DIVISION ACCESS TO BOOKS AND RECORDS OF THE FIRM. THE STATE OF UTAH ALSO ALLEGES THAT I ACTED IN A SUPERVISORY ROLE OVER OFFICE LOCATION WHERE AUDITORS WITNESSED BOOKS AND RECORDS OF THE FIRM BEING HIDDEN AND DISGUARDED.I DID NOT HAVE A SUPERVISORY ROLE IN THE OFFICE LOCATION.</p> <p>I DID IN FACT DENY THE DIVISION ACCESS ONLY BECAUSE THEY REFUSED TO IDENTIFY THEMSELVES. ONCE IDENTIFIED THEY WERE PERMITTED ACCESS.</p>
Current Status:	Final



Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	01/06/2004
Sanctions Ordered:	Suspension Other: A)1 YEAR SUSPENSION B) SIX MONTHS PROBATION C)REQUIREMENT OF A SURPRISE AUDIT AT THE FIRM'S EXPENSE.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	ONE YEAR
Start Date:	12/06/2002
End Date:	12/06/2003
Broker Statement	<p>ON NOVEMBER 16, 2000, THE UTAH DIVISION OF SECURITIES CONDUCTED AN EXAMINATION OF THE BRANCH OFFICE FOR WHICH I WAS EMPLOYED.</p> <p>ON JANUARY 3, 2001, THE UTAH DIVISION OF SECURITIES ISSUED AN EMERGENCY ORDER OF SUSPENSION DUE TO THE ALLEGATIONS LISTED ABOVE ON THIS DRP.</p> <p>IN FEBRUARY 2001 A HEARING WAS CONDUCTED IN WHICH MYSELF AND MY FIRM CONTESTED UTAH'S ALLEGATIONS. AS MY LICENSE WAS UNDER TEMPORARY SUSPENSION, THE ADMINISTRATIVE JUDGE PROMISED A SPEEDY DECISION.</p> <p>WE DID NOT HEAR FROM THE STATE OF UTAH UNTIL DECEMBER 6, 2002. ON THIS DATE A DECISION WAS REACHED WHICH CONCLUDED THAT DUE TO THE FINDINGS OF FACT (THESE FINDINGS WERE NEVER PRESENTED TO US AT THIS POINT IN TIME) A 1 YEAR SUSPENSION WAS APPROPRIATE. THE JUDGE RECOMMENDED THAT MY LICENSE BE REINSTATED AS IT WAS ALREADY UNDER SUSPENSION FOR MORE THAN 1 YEAR. UTAH REFUSED TO REINSTATE THE LICENSE.</p> <p>ON FEBRUARY 21, 2003, THE UTAH SECURITIES ADVISORY BOARD ISSUED</p>



AN ORDER OF REVOCATION.

IN MARCH 2003, MYSELF AND MY FIRM FILED AN IMMEDIATE APPEAL.

ON JANUARY 6, 2004, AN ORDER WAS ISSUED REINSTATING MINE AND MY FIRM'S LICENSES ON THE CONDITION THAT THE FIRM AGREES TO A 6 MONTH PROBATIONARY PERIOD AND WOULD AGREE TO PAY ANY COSTS ASSOCIATED WITH ANY AUDITS CONDUCTED BY UTAH DURING THIS PERIOD.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ARIVE CAPITAL MARKETS
Allegations:	Client claims unsuitability.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Client claims unspecified damages.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-03359
Filing date of arbitration/CFTC reparation or civil litigation:	11/29/2023

Customer Complaint Information

Date Complaint Received:	08/28/2025
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	08/28/2025
Settlement Amount:	

**Individual Contribution****Amount:****Arbitration Information**

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** FINRA

Docket/Case #: 23-03359

Date Notice/Process Served: 08/28/2025

Arbitration Pending? Yes

Broker Statement I was neither the rep nor the direct supervisor of the transaction. I was named only due to the fact that both rep, supervisor and firm are no longer registered.

End of Report



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