



## IAPD Report

# JOHN MARSHALL WILLIAMS

CRD# 2833948

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Please contact FINRA with any concerns.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JOHN MARSHALL WILLIAMS (CRD# 2833948)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	DOMINARI SECURITIES LLC	CRD# 18975	10/08/2024
<b>IA</b>	DOMINARI SECURITIES LLC	CRD# 18975	10/08/2024

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	ALEXANDER CAPITAL, L.P.	40077	STATEN ISLAND, NY	03/24/2021 - 10/09/2024
<b>B</b>	ARIVE CAPITAL MARKETS	8060	Bay Ridge, NY	03/27/2015 - 04/07/2021
<b>B</b>	SOUTHEAST INVESTMENTS, N.C., INC.	43035	Brooklyn, NY	02/26/2013 - 03/20/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 2 jurisdiction(s) and 4 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **DOMINARI SECURITIES LLC**  
Main Address: 725 FIFTH AVE., 23RD FL.  
NEW YORK, NY 10022  
Firm ID#: 18975

	Regulator	Registration	Status	Date
	FINRA	Compliance Officer	Approved	10/08/2024
	FINRA	General Securities Principal	Approved	10/08/2024
	FINRA	General Securities Representative	Approved	10/08/2024
	FINRA	Municipal Securities Principal	Approved	10/08/2024
	FINRA	Municipal Securities Representative	Approved	10/08/2024
	FINRA	Operations Professional	Approved	10/08/2024
	FINRA	Registered Options Principal	Approved	10/08/2024
	NYSE American LLC	Compliance Officer	Approved	12/03/2025
	NYSE American LLC	General Securities Principal	Approved	12/03/2025
	NYSE American LLC	General Securities Representative	Approved	12/03/2025
	NYSE American LLC	Municipal Securities Representative	Approved	12/03/2025
	NYSE American LLC	Registered Options Principal	Approved	12/03/2025
	Nasdaq Stock Market	General Securities Principal	Approved	10/08/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	10/08/2024
B	Nasdaq Stock Market	Registered Options Principal	Approved	10/08/2024
B	New York Stock Exchange	Compliance Officer	Approved	12/03/2025
B	New York Stock Exchange	General Securities Principal	Approved	12/03/2025
B	New York Stock Exchange	General Securities Representative	Approved	12/03/2025
B	New York Stock Exchange	Municipal Securities Representative	Approved	12/03/2025
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
IA	Pennsylvania	Investment Adviser Representative	Approved	01/08/2026

## Branch Office Locations

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

**DOMINARI SECURITIES LLC**  
3835 PGA Boulevard  
Suite 103  
Palm Beach Gardens, FL 33410







## Qualifications

### PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**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
	Compliance Officer Examination (S14)	Series 14	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	04/01/2016
	Registered Options Principal Examination (S4)	Series 4	04/16/2004
	General Securities Principal Examination (S24)	Series 24	04/12/2000

#### General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/29/1997

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/2024
 	Uniform Combined State Law Examination (S66)	Series 66	07/16/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1997



## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/24/2021 - 10/09/2024	ALEXANDER CAPITAL, L.P.	CRD# 40077	STATEN ISLAND, NY
B	03/27/2015 - 04/07/2021	ARIVE CAPITAL MARKETS	CRD# 8060	Bay Ridge, NY
B	02/26/2013 - 03/20/2015	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	Brooklyn, NY
B	03/04/2011 - 05/19/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PURCHASE, NY
B	12/20/2006 - 12/31/2010	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	BROOKLYN, NY
B	10/17/2005 - 11/30/2006	TRIDENT PARTNERS LTD.	CRD# 41258	JERICHO, NY
B	07/06/2005 - 11/18/2005	EURO PACIFIC CAPITAL, INC.	CRD# 8361	WESTPORT, CT
B	12/17/2004 - 06/23/2005	ANDREW GARRETT INC.	CRD# 29931	NEW YORK, NY
B	04/08/2003 - 01/05/2005	LH ROSS & COMPANY, INC.	CRD# 37920	BOCA RATON, FL
B	03/14/2002 - 04/11/2003	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	11/14/2001 - 03/27/2002	DELTA ASSET MANAGEMENT COMPANY, LLC	CRD# 39923	MINEOLA, NY
B	03/24/2000 - 10/18/2001	LH ROSS & COMPANY, INC.	CRD# 37920	BOCA RATON, FL
B	05/06/1998 - 03/01/2000	BAXTER BANKS & SMITH, LTD.	CRD# 40771	ST. PETERSBURG, FL
B	03/16/1998 - 05/13/1998	HARVESTONS SECURITIES, INC.	CRD# 34509	GREENWOOD VILLAGE
B	11/17/1997 - 03/24/1998	INTERNATIONAL BOND & SHARE, INC.	CRD# 43196	ST. PETERSBURG, FL
B	05/08/1997 - 11/18/1997	WEST AMERICA SECURITIES CORP	CRD# 35035	LAS VEGAS, NV





## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/30/1997 - 05/08/1997	SMITH, BENTON & HUGHES, INC.	CRD# 20877	LOS ANGELES, CA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	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 representative regarding other business activities the representative 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 Summary

### Disclosure Information

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

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UTAH DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Suspension
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/03/2001
<b>Docket/Case Number:</b>	SD-01-0003
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LH ROSS & COMPANY, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	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
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	02/02/2004
<b>Sanctions Ordered:</b>	Suspension
<b>Other Sanctions Ordered:</b>	PROBATION



<b>Sanction Details:</b>	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.
<b>Regulator Statement</b>	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: <a href="http://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=SD%2D01%2D0003">HTTP://WWW.SECURITIES.STATE.UT.US/ACTIONSEVENTS.ASP?DOCKET+NUMBER=SD%2D01%2D0003</a>
.....	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	UTAH DIVISION OF SECURITIES
<b>Sanction(s) Sought:</b>	Revocation
<b>Date Initiated:</b>	01/03/2001
<b>Docket/Case Number:</b>	SD-01-0003
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LH ROSS & COMPANY
<b>Product Type:</b>	No Product
<b>Allegations:</b>	<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>
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	01/06/2004
<b>Sanctions Ordered:</b>	Suspension Other: A)1 YEAR SUSPENSION B) SIX MONTHS PROBATION C)REQUIREMENT OF A SURPRISE AUDIT AT THE FIRM'S EXPENSE.
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	ONE YEAR



**Start Date:** 12/06/2002

**End Date:** 12/06/2003

**Broker Statement**

ON NOVEMBER 16, 2000, THE UTAH DIVISION OF SECURITIES CONDUCTED AN EXAMINATION OF THE BRANCH OFFICE FOR WHICH I WAS EMPLOYED.

ON JANUARY 3, 2001, THE UTAH DIVISION OF SECURITIES ISSUED AN EMERGENCY ORDER OF SUSPENSION DUE TO THE ALLEGATIONS LISTED ABOVE ON THIS DRP.

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.

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.

ON FEBRUARY 21, 2003, THE UTAH SECURITIES ADVISORY BOARD ISSUED 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

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

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

## Customer Complaint Information

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

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	23-03359
<b>Date Notice/Process Served:</b>	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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