



FACTS **WHAT DOES DOMINARI SECURITIES, LLC DO WITH YOUR PERSONAL INFORMATION?**

Why? Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What? The types of personal information we collect, and share depend on the product or service you have with us. This information can include:

- Social Security number
- Account balances
- Transaction history
- Assets
- Other financial accounts you hold
- Account information

How? All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reasons Dominari Securities chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Dominari Securities share?	Can you limit this sharing?
For our everyday business purposes - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes - to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	We do not share
For our affiliates' everyday business purposes - information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes - information about your creditworthiness	Yes	Yes
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you *See next page for additional information	Yes*	Yes

To limit our sharing

- Call Dominari Securities at (888) 299-7618
- Send an e-mail to privacy@dominarisecurities.com

Please note:
If you are a *new* client, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our client, we continue to share your information as described in this notice.
However, you can contact us at any time to limit our sharing.

Questions? For additional information about our privacy policy, including information concerning the General Data Protection Regulation (GDPR) for EEA residents, please visit our website at www.dominarisecurities.com or call (800) 299-7618.

Who We Are

Who is providing this notice? Dominari Securities, LLC, which is a subsidiary of Dominari Financial, LLC.

What We Do	
How does Dominari protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. We also maintain other physical, electronic, and procedural safeguards to protect this information and we limit access to information to those employees for whom access is appropriate.
How does Dominari collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> • Open an account • Make deposits or withdrawals from your account • Provide account information • Receive wealth management services We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> • sharing for affiliates' everyday business purposes - information about your creditworthiness • affiliates from using your information to market to you • sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"> • <i>Our affiliates include financial companies such as broker-dealers and investment advisors.</i>
Nonaffiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"> • <i>We may share with nonaffiliates so they can market or provide services to you.*</i>
Joint Marketing	A formal agreement between nonaffiliate financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>Dominari does not jointly market.</i>
*A note on sharing with nonaffiliates	We may share your personal information with vendors to enable us to provide you with broker dealer/advisory services. These vendors include, but are not limited to, payment facilitators, technology providers, clearing firms, custodians, mutual funds, insurance companies or private placement sponsors. Additionally, if your Advisor terminates his or her relationship with Dominari, we may allow the Advisor to disclose your information to a new firm he or she joins.

Other Important Information

For California Customers: We will not share personal information with nonaffiliates either for them to market to our or for joint marketing without your authorization. We will also limit our sharing of personal information about you with our affiliates to comply with all California privacy laws that apply to us. For more information on Dominari Securities' policies under the California Consumer Privacy Act of 2018, please go to: <https://dominarisecurities.com/privacy-policy/>

For Vermont Customers: We will not share information we collect about Vermont residents with companies who are not affiliates except as permitted by law, such as with your consent or to service your accounts.

For Nevada Customers: Nevada law requires us to disclose that you may be placed on Dominari Securities' internal do-not-call list by calling (800) 299-4550. For further information, contact the Nevada Attorney General's office at 555 E. Washington Avenue, Suite 3900, Las Vegas, NV 98101, by phone at (702) 486-3132 or by e-mail at BCPINFO@ag.state.nv.us.

Children's Information (Children's Online Privacy Protection Act): We respect the privacy of your children and do not knowingly collect or retain personally identifiable information from children under the age of 13 through this web site.

The following applies only to residents of the European Union (EU), transmitting data from within the EU: Transfers of PII: Your PII may be transferred, processed and/or stored in a country other than the one in which your PII is collected. When transferring your PII to the US or other countries, we have implemented procedures to ensure that appropriate safeguards are in place to protect the PII regardless of where it is being transferred to. In addition to disclosing PII amongst themselves, Dominari Securities may disclose PII, where permitted by law, to other service providers, employees, agents, contractors, consultants, professional advisers, lenders, data processors and persons employed and/or retained by them in order to fulfill the purposes described in this Privacy Notice. In addition, Dominari may share PII with regulatory bodies having competent jurisdiction over them, as well as with tax authorities, auditors and tax advisors (where necessary or required by law, rule or regulation). The European Union's General Data Protection Regulation ("GDPR") is a sweeping piece of legislation that grants EU residents increased control over their PII. The GDPR allows consumers to access their PII and find out details of how that data is processed, to rectify inaccurate PII, to have their data erased (when certain conditions are met), to restrict processing of their data, and more. It requires affected companies to create processes to comply with and facilitate consumer data requests, to update their privacy policies, and to ensure that PII is secured. Specifically, the GDPR and other national privacy laws provide data subjects with certain rights regarding their PII. If you are an individual who resides in the EU and whose PII is collected and processed by Dominari Securities, you have the right to:

- Request access to your data
- Rectify your data
- Take your data (in a readable, "portable" format) to another service provider
- Erase your PII
- Restrict or object to the processing of your PII
- Lodge a complaint with a Member State Supervisory Authority
- Withdraw previously given consent to collect and process PII (which will not impact PII processed before the withdrawal)

Security of Personal Information: We utilize reasonable security technologies to protect sensitive information. The security of this information depends on the security of the computer you use to communicate with us, the security you use to protect User IDs and passwords, and the security provided by your internet access services provider. We are not responsible for the security of your internet access services provider; you should review the security and privacy policies of your internet access services provider carefully. Information that you access via this website may be stored on your computer during your session for your convenience. If others have access to your computer or your User ID and password, they may be able to access this information. We are not responsible for the security or privacy of information communicated to or from such a computer. Finally, you should keep any correspondence you receive relating to this Site or the Services (including, but not limited to registration information, emails, or any other information) confidential and in a safe place.