



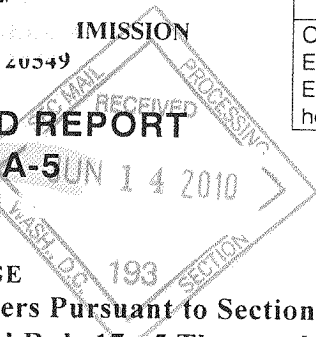
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Washington, D.C. 20549

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**ANNUAL AUDITED REPORT**  
**FORM X-17A-5**  
**PART III**

A



SEC FILE NUMBER  
8-21076

FACING PAGE 193

**Information Required of Brokers and Dealers Pursuant to Section 17 of the Securities Exchange Act of 1934 and Rule 17a-5 Thereunder**

REPORT FOR THE PERIOD BEGINNING 01/01/09 AND ENDING 12/31/09  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: DOMINICK & DOMINICK LLC

OFFICIAL USE ONLY  
FIRM I.D. NO.

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

150 EAST 52nd STREET

(No. and Street)

NEW YORK

(City)

NY

(State)

10022

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

JAMES POIT

(212) 558-8928

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

CITRIN COOPERMAN & COMPANY, LLP

(Name - if individual, state last, first, middle name)

529 FIFTH AVENUE NEW YORK

(Address)

(City)

NY

(State)

10017

(Zip Code)

**CHECK ONE:**

- Certified Public Accountant
- Public Accountant
- Accountant not resident in United States or any of its possessions.

**FOR OFFICIAL USE ONLY**

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

OATH OR AFFIRMATION

I, ROBERT HLADEK, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of DOMINICK & DOMINICK LLC, as of DECEMBER 31, 2009, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

*Robert M. Hladek*

Signature

CHIEF FINANCIAL OFFICER

Title

*Lynn Sperandio*  
Notary Public

**LYNN SPERANDIO**  
Notary Public, State of New York  
No. 018742000  
Qualified in Westchester County  
Commission Expires: 03, 2010

This report \*\* contains (check all applicable boxes)

- (a) Facing Page.
- (b) Statement of Financial Condition.
- (c) Statement of Income (Loss).
- (d) Statement of Changes in Financial Condition.
- (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- (g) Computation of Net Capital.
- (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- (l) An Oath or Affirmation.
- (m) A copy of the SIPC Supplemental Report.
- (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).

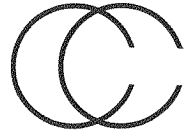
**DOMINICK & DOMINICK, L.L.C.**  
**(A Limited Liability Company)**  
**STATEMENT OF OPERATIONS**  
**FOR THE YEAR ENDED DECEMBER 31, 2009**

Revenues:	
Commissions	\$ 17,948,628
Fee income	4,310,040
Interest income and interest participation	920,396
Principal transactions	(27,416)
Other income	<u>155,358</u>
Total revenues	<u>23,307,006</u>
Expenses:	
Employee compensation and related expenses	16,982,718
Clearing, floor brokerage, and other fees	2,227,202
Office and equipment rental	2,227,240
Computer services	1,029,073
Depreciation and amortization	230,777
Communication	296,619
Insurance	268,711
Consulting and professional fees	421,125
Interest expense	92,505
Regulatory and registration fees	98,412
Other expenses	<u>928,244</u>
Total expenses	<u>24,802,626</u>
<b>NET LOSS</b>	<b><u>\$ (1,495,620)</u></b>

See accompanying notes to financial statements.

# Citrin Cooperman & Company, LLP

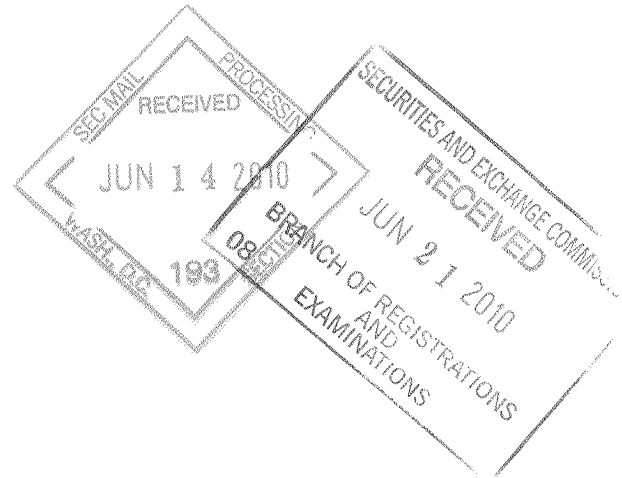
CERTIFIED PUBLIC ACCOUNTANTS



June 10, 2010

Ms. Sandy Sadwin  
Securities and Exchange Commission  
Registration Branch  
Mail Stop 8031  
100 F Street, NE  
Washington, DC 20549

Broker-dealer: Dominick & Dominick LLC  
SEC File Number: 8-21076  
CRD Number: 7344



Dear Ms. Sadwin:

In respect to the letter dated June 3, 2010 by Ms. Sheryl Martinez of FINRA, we are enclosing two sets of the statement of operations of the above reference broker-dealer. This statement was inadvertently omitted. One copy each is also being sent to the SEC regional office in New York and to FINRA.

If you need any further assistance please feel free to contact my office directly.

Sincerely,

David H. Grumer  
Partner

DHG/ch

Enclosures

cc: Securities and Exchange Commission NY Regional Office

cc: Ms. Patricia Mac George, NY District Office, FINRA



Financial Industry Regulatory Authority

**Certified Mail 7009 2820 0004 2211-8604**

June 3, 2010

Robert M. Hladak  
Chief Compliance Officer  
150 East 52<sup>nd</sup> Street – 3<sup>rd</sup> Floor  
New York, NY 10022

Re: Dominick & Dominick LLC - #7344

Dear Mr. Hladak:

This acknowledges receipt of your December 31, 2009 annual filing of audited financial statements made pursuant to Securities and Exchange Commission (SEC) Rule 17a-5(d) (the Rule). The report as submitted appears deficient in that it did not contain the following:

- **Statement of Income (Loss)**

Based on the above, your filing does not comply with the requirements of the Rule. The text of the Rule is reproduced in the *NASD Manual* under the section titled *SEC Rules & Regulation T*, and we suggest that you review it with your independent accountant.

Pursuant to the provisions of Rule 8210, we request that you immediately send one copy of the item(s) listed above to this office and to the appropriate SEC regional or district office, and two copies to the SEC Washington, D.C. office. Your submissions must include a new completed Form X-17A-5 Part III Facing Page, a copy of which is enclosed for your convenience.

Please respond to this matter by June 17, 2010. Questions may be addressed to Patricia MacGeorge at (212) 858- 4225.

Sincerely,

A handwritten signature in black ink, appearing to read "Sheryl Martinez", is written over the typed name and title. The signature is fluid and cursive.

Sheryl Martinez  
Examination Manager

Enclosure: Form X-17A-5 Part III Facing Page

cc: Sandy Sadwin, SEC  
Citrin Cooperman & Company, LLP