



**Part 2B of Form ADV:
Brochure Supplement
09/25/2024**

Item 1. Cover Page

Sunil Misra

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This brochure supplement provides clients with information about Sunil Misra that supplements the DMK Advisor Group, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Erin Baskett, CCO, at (636-675-3746) if you did not receive the DMK Advisor Group, Inc.'s brochure or have any questions about the contents of this supplement.

Additional information about Sunil Misra is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2. EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Sunil Misra

Born: 1962

Education

M.B.A. – University of North Florida

B. Tech. – M.S. University, Vadodra, India

Business Experience

Registered Representative, DMK Advisor Group, 2019 - Present

Registered Representative, Royal Alliance Associates, 2015 - 2019

Investment Advisor Representative, Royal Alliance Associates, 2018 - 2019

Investment Advisor Representative, New Century Financial Group, LLC., 2015-2018

Registered Representative, The Leaders Group, Inc., 2014 – 2015

Investment Advisor Representative, Park Avenues Securities LLC., 2009 - 2011

Investment Advisor Representative, Ameriprise Financial Services, Inc., 2008 - 2009

Professional Licenses/Designations

Series 63 - Uniform Securities Agent State Law Examination

To become registered as a Uniform Securities Agent State Law, securities professionals must pass a qualifying exam administered by FINRA to demonstrate their competence in this area. An individual must pass the exams before engaging in those areas of the business.

Series 66 - Uniform Combined State Law Examination

To become registered as a Series 66 licensee, securities professionals must pass a qualifying exam administered by FINRA to demonstrate their competence in this area. An individual must pass the exams before engaging in those areas of the business.

Series 7 TO- General Securities Representative Examination

To become Series 7 TO licensed, securities professionals must be associated with a FINRA member and pass a qualifying exam administered by FINRA to demonstrate their competence in this area. An individual must pass the exams before engaging in those areas of the business. Continuing Education requirements include attending Annual Compliance Meetings, Annual Firm Element Training, and taking a computer-based Regulatory Training Element Annually.

Series 6 - Investment Company Products/Variable Contracts Representative Examination To become registered as a Series 6 licensee, securities professionals must pass a qualifying exam administered by FINRA to demonstrate their competence in this area. An individual must pass the exams before engaging in those areas of the business.

SIE - Securities Industry Essentials Examination

The Securities Industry Essentials® (SIE®) Exam is a FINRA exam for prospective securities industry professionals. This introductory-level exam assesses a candidate's basic knowledge of the securities industry.

ChFC – Chartered Financial Consultant - The American College

The Chartered Financial Consultant (ChFC) is a professional designation for financial advisors, representing a comprehensive education in financial planning. Offered by The American College of Financial Services since 1982, the ChFC program requires completion of nine college-level courses covering over 100 integrated advanced financial planning topics.

To earn the ChFC designation, candidates must have at least three years of full-time experience in the financial industry and complete coursework in areas such as:

- Retirement planning
- Estate planning
- Insurance planning
- Income tax planning
- Asset protection planning
- Employee benefits planning

The curriculum emphasizes the practical application of financial planning skills to real-life scenarios. After earning the designation, ChFC professionals must complete 30 hours of continuing education every two years to maintain their credentials.

CLU – Chartered Life Underwriter - The American College The Chartered Life Underwriter (CLU) designation is for professionals specializing in life insurance and estate planning. Awarded by The American College of Financial Services, the CLU has been recognized as a standard of excellence for nearly a century.

To earn the CLU designation, candidates must complete a rigorous program consisting of five core courses and pass eight comprehensive exams. The curriculum covers a wide range of topics, including life insurance, estate planning, business planning, taxation, and ethics. This extensive education equips CLU holders with in-depth knowledge of risk management, wealth preservation, and financial security strategies.

The designation also requires adherence to a strict code of ethics and ongoing professional development, ensuring that CLU holders maintain high standards of integrity and stay current with industry trends.

Item 3. DISCIPLINARY INFORMATION

I have no disciplinary events to report.

Item 4. OTHER BUSINESS ACTIVITIES

Mr. Misra is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Misra's role with DMK. As an insurance professional, Mr. Misra will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Misra is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This practice presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Misra or the Advisor. Mr. Misra spends approximately 10% of his time per month in this capacity.

Mr. Misra owns Sunil Misra, LLC, an entity that provides IT consulting services.

Mr. Misra is also a member of the Rotary Club of Orange Park Sunset, a non-profit service organization. Although he currently does not hold any board positions, he has in the past and possibly will in the future. As a member, he provides services to others, promotes high ethical standards, and advances world understanding and goodwill through its fellowship of business, professional, and community leaders. Time spent on this is outside of business hours and no compensation is involved.

Mr. Misra also works as a Tax preparer for H&R Block; for this, he receives fee-based compensation. This activity is after business hours, only during tax season, and has no conflict of interest with his primary responsibilities at DMK.

The abovementioned activities may or may not provide a substantial source of the Investment Adviser Representative's time or income. Furthermore, such non-investment-related business activities are in no way affiliated, endorsed, sponsored, or in any way associated with DMK. Consulting services are provided on a fee-based compensation basis.

Item 5. ADDITIONAL COMPENSATION

Mr. Misra has additional business activities where compensation is received that are detailed in Item 4 above. While DMK and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Financial advisors may receive compensation from someone other than a client for providing investment advice or other advisory services to clients by referring clients to other investment advisers. As such, there may be potential conflicts of interest with these arrangements, including situations where the compensation paid to the firm or the financial advisor differs based on the

particular third-party adviser.

Therefore, financial advisors may have an economic incentive to recommend one third-party adviser over another. Additionally, certain third-party advisers may provide reimbursements to financial advisors as an offset for marketing and seminar materials for the advisory products and services offered. These situations may also create conflicts of interest that you should carefully consider.

Item 6. SUPERVISION

DMK supervises the investment advisory services provided by its financial advisors through a variety of methods, including a review by a licensed principal prior to a client's enrollment in any investment advisory service or prior to any new account opening. This review is designed to ensure that the products and services offered and recommended to clients are appropriate based on the particular client's situation. Additionally, the Firm conducts periodic ongoing supervision related to its investment advisory services. These efforts, which vary in frequency, include reviews based on a number of different factors, including but not limited to specific account activity and changes in a client's financial situation or investment objectives. The individual responsible for supervising Sunil Misra is Hal Schwartz. He may be reached at (813) 996-6100.

7. REQUIREMENTS FOR STATE-REGISTERED ADVISERS

1. Mr. Misra has never been charged with or found liable in an arbitration claim alleging damages in excess of \$2,500 *involving* any of the following:
 - (a) an investment or an *investment-related* business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property;
 - (d) bribery, forgery, counterfeiting, or extortion; or
 - (e) dishonest, unfair, or unethical practices.
2. Mr. Misra has never been charged with or found liable in a civil, *self-regulatory organization*, or administrative *proceeding involving* any of the following:
 - (a) an investment or an *investment-related* business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property;
 - (d) bribery, forgery, counterfeiting, or extortion; or
 - (e) dishonest, unfair, or unethical practices.