



**Part 2B of Form ADV:  
Brochure Supplement  
09/27/2024**

**Item 1. Cover Page:**

**HAROLD ALAN SCHWARTZ**

17961 Hunting Bow Circle, Suite 102  
Lutz, Florida 33558  
(813) 996-6100

**DMK Advisor Group, Inc.**

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Lutz, Florida 33558  
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This brochure supplement provides clients with information about Harold Schwartz 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 Harold Schwartz is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2. EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

HAROLD ALAN SCHWARTZ

Year of Birth: 1948

### **Education**

State University of New York at New Paltz, Bachelor's Degree, Psychology and Sociology, 1971

### **Business Experience**

DMK Advisor Group, Inc., 2020 -Present

Stephen A. Kohn & Associates, Ltd. 2019-2020

Royal Alliance Associates, 2015 – 2019

New Century Financial Group, LLC, 2015 - 2018

The Leaders Group, Inc., 1995 – 2015

TLG Advisors, Inc., 2006 -2015

D. E. Frey & Company, Inc., 1993 – 1995

PRUCO Securities Corporation, 1992 – 1993

Lehman Brothers, Inc., 1988 - 1991

### **Professional Licenses/Designations**

#### **Series 7 - General Securities Representative Exam (Stockbroker)**

To obtain a Series 7 license, an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed to demonstrate competence in this area. Continuing Education requirements include attending Annual Compliance Meetings, Annual Firm Element Training, and taking a computer-based Regulatory Training Element Annually.

#### **Series 24 - General Securities Principal Exam**

To obtain a Series 24 license, an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed to demonstrate competence in this area. Continuing Education requirements include attending Annual Compliance Meetings, Annual Firm Element Training, and taking a computer-based Regulatory Training Element Annually.

#### **Series 63 - Uniform Securities Agent State Law Exam**

To obtain a Series 63 license, an initial qualifying exam administered by FINRA must be passed to demonstrate competence in this area.

**Series 66 - Uniform Investment Adviser, Combined State Laws Exam 66** To obtain a Series 66 license ( Series 63 and 65 combined ), an initial qualifying exam administered by FINRA must be passed to demonstrate competence in this area.

### **Item 3. DISCIPLINARY INFORMATION**

Mr. Schwartz, in his four-decade career in financial services, has the following disclosure item: Mr. Schwartz has one material disciplinary event to report. Please log onto FINRA BrokerCheck [www.BrokerCheck.com](http://www.BrokerCheck.com) or [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) for information. Registered investment advisers must disclose all material facts regarding any legal or disciplinary events that may affect your decision to do business with Harold Schwartz.

### **Item 4. OTHER BUSINESS ACTIVITIES**

Mr. Schwartz has other outside business relationships, as follows:

1. Del Mar Group Inc. - Since 01/01/1993 17961 Hunting Bow Circle, Suite 102, Lutz, FL 33558 - Sec Related - President Fin'l Svcs Bsn - Devote Approx. 20 Hrs. P/M
2. Coquina Key Publishing, LLC Position: Managing Member Nature: LLC Investment Related: No, Securities Trading Hours: 1 Start Date: 10/24/2013 Address 17961 Hunting Bow Circle, Suite 102, Lutz, FL 33558 : Description: Publishing Company
3. DMG Financial LLC Position: Managing Member Nature: LLC Investment Related: Yes, Securities Trading Hours: 5, Start Date: 01/01/1993 Address: 17961 Hunting Bow Circle, Suite 102, Lutz, FL 33558, Description: Marketing, Management
4. Insurance Sales, Various carriers, Address: 17961 Hunting Bow Circle, Suite 102, Lutz, FL 33558, Non-Trading Hours.

### **Item 5. ADDITIONAL COMPENSATION**

As discussed previously above, your advisor is a registered representative and may also be an insurance agent. In addition to the receipt of advisory fees, traditional commissions, and ongoing 12b-1 fees, DMK may pay bonuses based on a registered representative's overall product and/or service sales, including with respect to advisory business, conduct sales incentive contests or provide marketing payments to its financial advisors to the extent permitted under applicable law. As a result, these arrangements may create a conflict of interest. While DMK and your financial advisor intend to provide recommendations for products and services they believe suit you. You should carefully evaluate each product or service recommendation based on your financial situation and investment objectives.

Financial advisors may receive compensation from someone other than a client for providing investment advice or advisory services 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 reimburse 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 various methods, including a review by a licensed principal before a client's enrollment in any investment advisory service or before 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 several different factors, including but not limited to specific account activity and changes in a client's financial situation or investment objectives. Erin Baskett, CCO, is responsible for supervising Harrold Schwartz. She can be reached at (636-675-3746).

#### **Item 7. REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

1. Mr. Schwartz 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. Schwartz has been charged with or found liable by a *self-regulatory organization*, as follows:
  - (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.

Mr. Schwartz, at the urging of a client and on his behalf, called an insurance company to express the wishes of his client to reduce the monthly disbursement amount from his annuity.

The insurance company happened to call his then Broker/Dealer and, in response to that call, made the determination that Mr. Schwartz violated firm policy and was permitted to resign. After speaking with the client, they later determined that Mr. Schwartz followed the client's directive and amended their Form U5 filing. By that time, FINRA had started its own investigation and found that Mr. Schwartz was in violation of their rules, so it imposed the most minimal fine and suspension. Mr. Schwartz, wanting to get this incident behind him, agreed to sign an agreement of Acceptance, Waiver, and Consent ("AWC"), paid his fine, and served his suspension. Concurrent to this, FINRA approved Mr. Schwartz as an owner and chairman of DMK Advisor Group, Inc.

Mr. Schwartz has not had a bankruptcy in the past ten years. Mr. Schwartz has never been the subject of a criminal proceeding.