



Amuni Financial, Inc.  
720 Second Avenue South  
Saint Petersburg, FL 33701

(800) 868 – 6864  
[www.amuni.com](http://www.amuni.com)

## Part 2B of Form ADV Firm Brochure Supplement

March 16, 2021

This brochure supplement, Form ADV Part 2B, provides information on our personnel listed below, and supplements the Amuni Financial, Inc. brochure, Form ADV Part 2A. If you have any questions about the contents of this brochure supplement or did not receive the Amuni Firm Brochure, please contact us at (800) 868-6864. Additional information about our personnel is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Michael C Petagna  
Jared Abelman  
Alan E. Marsh III  
Derek Misenhelder

David Polkinghorn  
Mark Donohue  
Jay Lake

John Satterfield  
Bob House

Branch Office: 1501 North University Avenue, Suite 330  
Little Rock, Arkansas 72207  
(800) 723 – 2663



## Item 2 – Educational Background and Business Experience

Name: Michael C. Petagna

Year of Birth: 1979

### Education and Training:

University of Florida, Gainesville BS 2002

University of South Florida, St. Petersburg MBA 2005

The FINRA Institute at Georgetown, Certified Regulatory and Compliance Professional (CRCP®) 2019.

*Developed by FINRA, the CRCP program is a career-enhancing designation designed specifically for securities industry regulatory and compliance professionals, practicing attorneys, and foreign, federal and states securities regulators. Participants who successfully complete the program and the required 12 hours of continuing education over a three-year period are designated Certified Regulatory and Compliance Professionals by the FINRA Institute.*

Series 7, General Securities Representative

Series 63, Uniform Securities Agent State Law

Series 66, Uniform Combined State Law

Series 24, General Securities Principal

Series 27, Financial and Operations Principal

Series 53, Municipal Securities Principal

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Vice President) 2010 – 2015

Amuni Financial, Inc. (President and CEO) 2015--Present

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities and securities-based loans.

## Item 6 – Supervision

Alan Marsh, acting as Assistant Home Office Branch Manager, is responsible for monitoring my advisory activities. Alan Marsh may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: Jared Abelman

Year of Birth: 1985

### Education and Training:

University of Pennsylvania, Wharton School of Business BS 2007

Series 3, National Commodity Futures Examination

Series 7, General Securities Representative

Series 63, Uniform Securities Agent State Law

Series 66, Uniform Combined State Law

Series 24, General Securities Principal

Series 53, Municipal Securities Principal

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Vice President)

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities and securities-based loans.

## Item 6 – Supervision

Michael Petagna, acting as Chief Compliance Officer, is responsible for monitoring my advisory activities. Michael Petagna may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: ALAN E. MARSH III

Year of Birth: 1982

### Education and Training:

University of Florida, B.S. in Business Administration 2005

The FINRA Institute at Wharton, Certified Regulatory and Compliance Professional (CRCP®) 2016.

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Series 7, General Securities Representative

Series 63, Uniform Securities Agent State Law

Series 66, Uniform Combined State Law

Series 4, Registered Options Principal

Series 52, Municipal Securities Representative

Series 24, General Securities Principal

Series 53, Municipal Securities Principal

2-15 Florida Licensed Insurance Agent, Life, Health, and Variable Annuities

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Vice President)

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. I am an insurance agent of Amuni Financial, Inc. and will be paid fees and/or commissions on insurance transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities, insurance products, and securities-based loans.

## Item 6 – Supervision

Michael Petagna, acting as Branch Manager, is responsible for monitoring my advisory activities.

Michael Petagna may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: David Polkinghorn

Year of Birth: 1979

### Education and Training:

University of South Florida, B.S. Finance 2011

Series 7, General Securities Representative

Series 66, Uniform Combined State Law

2-15 Florida Licensed Insurance Agent, Life, Health, and Variable Annuities

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Financial Advisor) 2015 – Present

Soaring Wings HQ, LLC (Senior Accountant) 2014 – 2015

Waddell & Reed (Financial Advisor) 2012 --2014

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. I am an insurance agent of Amuni Financial, Inc. and will be paid fees and/or commissions on insurance transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities, insurance products, and securities-based loans.

## Item 6 – Supervision

Michael Petagna, acting as Branch Manager, is responsible for monitoring my advisory activities.

Michael Petagna may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: Mark K. Donohue

Year of Birth: 1953

### Education and Training:

University of South Florida, BA 1975

Series 7, General Securities Representative

Series 52, Municipal Securities Representative

Series 1, Registered Representative

Series 63, Uniform Securities Agent State Law

Series 65, Uniform Investment Adviser Law

Series 24, General Securities Principal

Series 53, Municipal Securities Principal

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Vice President)

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. I am an insurance agent of Amuni Financial, Inc. and will be paid fees and/or commissions on insurance transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities, insurance products, and securities-based loans.

## Item 6 – Supervision

Michael Petagna, acting as Branch Manager, is responsible for monitoring my advisory activities.

Michael Petagna may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: Jay Lake                      Year of Birth: 1961

### Education and Training:

University of Central Florida, B.S. in Business Administration 1986

Series 7, General Securities Representative

Series 63, Uniform Securities Agent State Law

Series 65, Uniform Investment Adviser Law

Series 24, General Securities Principal

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Vice President)

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

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## Item 6 – Supervision

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Michael Petagna may be reached at (800) 868-6864.



## Item 2 – Educational Background and Business Experience

Name: Bob House

Year of Birth: 1964

### Education and Training:

Arkansas State University, BS 1986

Series 7, General Securities Representative

Series 3, National Commodity Futures Examination

Series 63, Uniform Securities Agent State Law

Series 65, Uniform Investment Adviser Law

### Previous Five Years of Business Experience:

Amuni Financial, Inc.: Little Rock, AR Branch Office, Advisor

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. I am an insurance agent of Amuni Financial, Inc. and will be paid fees and/or commissions on insurance transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

As mentioned in Item 4, in addition to fee based advisory compensation, I earn fees or commissions for transactional business in securities, insurance products, and securities-based loans.

## Item 6 – Supervision

Michael Petagna, acting as Chief Compliance Officer, is responsible for monitoring my advisory activities. Michael Petagna may be reached at (800) 868-6864.





## Item 2 – Educational Background and Business Experience

Name: John Satterfield

Year of Birth: 1958

### Education and Training:

University of Arkansas, BA 1982

Series 7, General Securities Representative

Series 24, General Securities Principal

Series 53, Municipal Securities Principal

Series 63, Uniform Securities Agent State Law

Series 66, Uniform Combined State Law Examination

### Previous Five Years of Business Experience:

Amuni Financial, Inc., Branch Manager/Assistant Branch Manager

## Item 3 – Disciplinary Information

I have no disciplinary events to disclose.

## Item 4 – Other Business Activities

I am a broker-dealer Registered Representative of Amuni Financial, Inc., and will be paid fees and/or commissions on securities transactions. All commissions are disclosed to clients. If you purchase a mutual fund containing a 12b-1 fee, I will receive such fee. I receive fees on loan balances if you borrow against securities you own. When acting as a fiduciary for its clients, Amuni Financial, Inc. strives to put the interests of its investment advisory clients first. Clients should be aware, however, that the receipt of economic benefits by Amuni Financial, Inc. and by me, in and of itself creates a potential conflict of interest. When selling commission-based products, I have an incentive to recommend products based on the commission received, rather than on a client's needs.

## Item 5 – Additional Compensation

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## Item 6 – Supervision

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## Item 2 – Educational Background and Business Experience

Name: Derek Misenhelder

Year of Birth: 1986

### Education and Training:

University of South Florida, M.S. Entrepreneurship in Applied Technologies 2012

Florida State University B.S. Business Management 2009

Series 7, General Securities Representative

Series 66, Uniform Combined State Law

2-15 Florida Licensed Insurance Agent, Life, Health, and Variable Annuities

### Previous Five Years of Business Experience:

Amuni Financial, Inc. (Financial Advisor) 2020 – Present

Universal Financial Consultants (Life and Annuity Consultant) 2018-2020

Northwestern Mutual (Financial Advisor) 2017-2018

## Item 3 – Disciplinary Information

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## Item 4 – Other Business Activities

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## Item 6 – Supervision

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Michael Petagna may be reached at (800) 868-6864.