



PROFESSIONAL PROFILE

MAIN OFFICE

17961 Hunting Bow Circle, Suite 102 • Lutz, Florida 33558.
 Phone: 813.996.6100 TollFree.800.983.4448

careers@dmkadvisorgroup.com • www.dmkadvisorgroup.com/Careers.html

| | | | | | | | |
|---|---|---------------------------------------|--|--|---|---------------------------------|-----|
| Last Name | | First Name | | MI | | Honorifics, Titles | |
| Company name (if applicable) | | | | | | | |
| SSN# | | CRD# | | Years in the financial services industry | | Date of Birth | |
| List all securities and insurance registrations and licenses | | | | | | States licensed in | |
| Professional Designations (CFP, CLU, etc.) | | | | | | | |
| Street Address | | | | City | | State | Zip |
| Mailing Address | | | | City | | State | Zip |
| Daytime Phone | | Mobile Phone | | Primary email | | Secondary email | |
| Check those that apply: | | | Check those that apply and provide details below: | | | | |
| Are you Insurance licensed? | | | Do you have any negative information or complaints on your U4? | | | | |
| Are you a Registered Representative? | | | Have you filed for bankruptcy within the last 7 years? | | | | |
| Are you an Investment Advisor Representative? | | | Have you been convicted of a felony? | | | | |
| GROSS PRODUCTION FOR PAST 12 MONTHS: | | MOST RECENT MONTH'S GROSS PRODUCTION: | | ANTICIPATED PRODUCTION FOR THE NEXT 12 MONTHS: | | AVERAGE NET WORTH OF CLIENTS: | |
| \$ | | \$ | | \$ | | \$ | |
| IN GENERAL, WHAT IS THE PRODUCT MIX IN YOUR BOOK OF BUSINESS? | | | | | | | |
| Equities | % | Mutual Funds | % | Bonds | % | Municipal Bonds | % |
| Life insurance | % | Annuities | % | Alternative Investments | % | Special Products | % |
| VALUE OF YOUR ASSETS UNDER MANAGEMENT: | | TOTAL NUMBER OF YOUR ACCOUNTS: | | NUMBER OF YOUR ACTIVE ACCOUNTS: | | AVERAGE NEW ACCOUNTS EACH YEAR: | |
| \$ | | | | | | | |
| Are you engaged in any other outside businesses? If yes, please describe. | | | | | | | |
| What is your investment philosophy or theory? | | | | | | | |

I hereby authorize DMK Advisor Group, Inc. to conduct a CRD search of my record and any additional pertinent background information that may be required as part of its pre-registration investigation.

Signed _____ **Date** _____

Securities and advisory services offered through DMK Advisor Group, Inc., member FINRA/SIPC/MSRB. Investment Advisory services also offered through Compass Financial Management, LLC, an SEC Registered Investment Advisory. compassfmlc.com.