



INVESTMENT ADVISORY SERVICES

Form ADV Part 2A

Disclosure Document

DMK Advisor Group, Inc.

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This Brochure provides information about the qualifications and business practices of DMK Advisor Group, Inc. ("DMK"). If you have any questions about its contents, please contact us at (813-996-6100 and/or erin.baskett@dmkadvisorgroup.com). The information in this Brochure has not been approved, verified or rejected by the United States Securities and Exchange Commission, the Financial Industry Regulatory Authority or by any state securities authority.

DMK Advisor Group, Inc. is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training.

Additional information about DMK Advisor Group, Inc. is available on the SEC's website at www.adviserinfo.sec.gov.

Form ADV2A

Item 3 – Material Changes	3
Item 4 – Advisory Business	3
Item 5 – Fees and Compensation	5
Item 6 – Performance Based Fees	6
Item 7 – Types of Clients	6
Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss	6
Item 9 – Disciplinary Information	7
Item 10 – Other Financial Industry Activities and Affiliations	8
Item 11 – Participation or Interest in Client Transactions and Personal Trading	8
Item 12 – Brokerage Practices	10
Item 13 – Review of Accounts	10
Item 14 – Client Referrals and Other Compensation	10
Item 15 – Custody	10
Item 16 – Investment Discretion	11
Item 17 – Voting Client Securities	11
Item 18 – Financial Information	11
Item 19 – Requirements for State Registered Advisers	11
Erin Baskett – CCO	12
Peter Galligan – Financial Principal	13

Item 3 – Material Changes

On July 28, 2010, the United State Securities and Exchange Commission (“SEC”) published “Amendments to Form ADV” which amends the disclosure document that we provide to clients as required by SEC Rules. This Brochure dated May 17, 2025 is prepared according to the SEC’s requirements and rules. As such, this Document is materially different in structure (AUM has been updated) and requires certain information that our previous brochure did not require.

In the future, this Item will discuss only specific material changes that are made to the Brochure and provide clients with a summary of such changes. We will also reference the date of our last annual update of our brochure.

In the past we have offered or delivered information about our qualifications and business practices to clients on at least an annual basis. Pursuant to new SEC Rules, we will ensure that you receive a summary of any materials changes to this and subsequent Brochures within 120 days of the close of our business’ fiscal year. We may further provide other ongoing disclosure information about material changes as necessary.

We will further provide you with a new Brochure as necessary based on changes or new information, at any time, without charge.

Currently, our Brochure may be requested by contacting Erin Baskett, CCO, at 813-996-6100.

Additional information about DMK Advisor Group, Inc. is also available via the SEC’s web site www.adviserinfo.sec.gov. The SEC’s web site also provides information about any persons affiliated with DMK who are registered, or are required to be registered, as investment adviser representatives of DMK.

Item 4 – Advisory Business

A. DMK Advisor Group, Inc. (“DMK”), formerly Stephen A. Kohn & Associates, Ltd., has been a Registered Broker/Dealer since July, 1996 and a Registered Investment Adviser since 1999. DMK is a Colorado corporation.

DMK is registered with the State of Colorado, Division of Securities as an Investment Adviser under the Investment Act of 1940. The Firm is an SEC registered Investment Adviser, the Firm’s ADV file number is 801-52683. The Firm provides investment supervisory services, manages advisory accounts and provides financial planning services.

DMK is owned and operated by a group of investment professionals, each owning an equal share.

B. DMK Advisor Group, Inc. provides investment advisory services to a wide variety of clientele including individuals, corporations, trusts, pension plans and profit-sharing plans. Only after an in-person interview and analysis of a prospective client’s suitability, will a proposal be offered. The analysis includes, but is not limited to information about a client’s employment or retirement, income, net worth, investable assets, risk tolerance, investment objective, time horizon, etc. In the event that a client is averse to any type or class of security, that is taken into consideration prior to making any proposal.

a. DMK provides active account management on a discretionary basis and more passive account management on a non-discretionary basis

i. Discretionary accounts may experience active trading and account re-balancing on a relatively frequent basis according to market conditions and client selected trading models, determined prior to the establishment of the account.

ii. Non-Discretionary accounts require consultation with the client prior to initiating any changes in securities and/or account objectives. Trading volume is geared more to a consultative relationship with the client and is more suited to “investing,” rather than trading.

b. Financial Planning services may be provided as an optional service. (See Item 5)

C. Assets are managed on a discretionary or non-discretionary basis. Client input concerning sector choice or sector exclusion is invited and welcomed as part of an overall strategy tailored to client preferences.

Investment advisory services are offered for exchange-listed securities, over-the-counter securities, variable life insurance, variable annuities, mutual fund shares, partnership interests in real estate and other securities as created by the investment industry.

Portfolios are actively managed on both discretionary and non-discretionary basis'. Investment models are reviewed on a daily basis and re-balancing and/or adjustments may be made and suggested based upon market conditions.

DMK Advisor Group, Inc. advisors utilize charting analysis as well as fundamental and technical analysis, or a combination of all three, to analyze investments. The Firm draws information from financial media, annual reports, prospectus', corporate rating services, research materials prepared by others, corporate press releases, inspection of corporate activities and from timing services.

Investment strategies utilized may include long and short-term purchases as well as frequent trading activity.

Clients' investment needs are carefully evaluated after one or more interviews which include, but are not limited to careful analysis of age, income, net worth, investment experience, risk tolerance, investment time horizon and investment goals.

D. All client accounts are considered “wrap” accounts. This means our management fees include all associated fee including, but not limited to fees for statements, trade confirmations, postage, trade execution fees, etc. Retirement accounts are charged a \$35.00 annual fee by the account custodian. All accounts are treated similarly with no distinction made according to the amount of assets in any given account.

E. As of this date, DMK currently manages approximately \$84,480,870 of which approximately all are on a discretionary basis.

Item 5 – Fees and Compensation

A. Managed account services are provided for a fee, based on the value of assets under management. The type of fee charged for services is to be determined on an individual client basis. The chart below represents a guide. Comparable services, for lower fees, may be available from other sources.

Managed Account Fees

As a % of assets, in thousands	Annual
Up to \$250,000	2.50%
\$250,001-\$500,000	2.25%
\$500,001-\$750,000	2.00%
\$750,001-\$1,000,000	1.75%
\$1,000,001-\$1,250,000	1.50%
\$1,250,000-UP	Negotiated
Fixed Fee Financial Planning	
Service	Fee
Initial Consultation	No Charge
Preliminary Financial Review	\$350.00
Quarterly Review, Analysis and Revision or Update	\$100.00 Annually
Specific Services	Hourly @ \$150 /Hour

All fees, with the exception of Direct Participation and Variable Annuities, are subject to negotiation. ***The management fees stated above may be higher or lower than fees charged in the industry for similar services.***

- B. All management fees will be deducted quarterly by the custodian at the appropriate rate and will be billed based on the value of the assets under management on the last day of the prior reporting period unless Client and DMK agree to directly bill the Client.
- C. Management fees for Wrap Accounts incur no addition fees, as described in Item 4-D, above, with the exception of an annual retirement account fee of \$35.00 charged by the retirement account custodian.
- D. Discretionary Account Management fees are charged to each account quarterly, in advance. Non-Discretionary Account Management fees are charged to each account quarterly, in arrears. Management fees shall be prorated for each capital contribution and withdrawal made during the applicable calendar quarter (with the exception of de minimis contributions and withdrawals). Accounts initiated or terminated during a calendar quarter will be charged a prorated fee. Upon termination of any account, any prepaid, unearned fees will be promptly

refunded, and any earned, unpaid fees will be due and payable. In addition, any fees attendant to the transfer of client assets may be charged by the Clearing Broker Dealer to the client account prior to such transfer.

E. Financial Planning fees are due upon completion of financial plan.

F. Neither DMK nor any of its supervised persons receives compensation for the sale of securities or other investment products with the exception of insurance products. Clients may, at their sole discretion, select either fee-based or commission-based accounts. In either case, the representative has the obligation, as a fiduciary, to put the clients' best interest ahead of his/her own. This policy eliminates any real or perceived conflict of interest. Additionally, clients have the option to purchase recommended products through non-affiliated entities.

Item 6 – Performance Based Fees

DMK does not charge performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

Item 7 – Types of Clients

DMK provides portfolio management for individuals and/or small businesses, and other qualified, potential investors. DMK accepts accounts valued at minimum value of \$10,000.00. This requirement may be waived for "household" accounts.

Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss

Investing in securities involves risk of loss that clients should be prepared to bear.

DMK carefully monitors all levels of risk that have historically affected the markets. Our main focus is on market conditions caused by Federal Reserve Bank interest rate increases or reductions, Gross Domestic Production increases or reductions, unemployment figures, and other factors that may affect our emotionally sensitive markets.

However, through a series of comprehensive interviews, the client's suitability and risk tolerance is determined and investment vehicles are recommended as a result. In addition, the client's "time horizon" is ascertained and factored into any recommendation that is presented for consideration.

Investment models are based on market performance of Exchange-Traded Funds and Mutual Funds. Models do not include Options, Futures, Commodities or any highly volatile securities thereby maintaining low levels of risk in client portfolios. Investment vehicles are reviewed daily and portfolios rebalanced as necessary to fulfil the asset allocation percentages; Morningstar and other sources are relied upon for reporting performance.

DMK is a growth manager and basically use technical analysis using such tools as Morningstar and Y Charts supplemented with mutual fund company reports on the sectors we look at and the funds they have available. Investing in securities involves a risk of loss, as discussed above, and should be approached prudently.

Since DMK strictly uses mutual funds and ETF's we do not believe this strategy creates excessive risk. Whichever benchmark, we use Beta (measurement of risk) rarely exceeding 1.20 and is usually under 1.00. By those accepted standards there is no undue risk in our portfolios since we tend to be conservative in our investment models. Trading frequency does not affect investment performance since all managed account trading is absent commission or transaction charges.

DMK uses Mutual Funds and ETF's, strictly. We feel that we do not take unusual risks using these types of securities.

Risks of Loss

Risks of Loss Mutual Funds and Exchange Traded Funds (ETFs)

An investment in a mutual fund or ETF involves risk, including the loss of principal. Mutual fund and ETF shareholders are necessarily subject to the risks stemming from the individual issuers of the fund's underlying portfolio securities. Such shareholders are also liable for taxes on any fund-level capital gains, as mutual funds and ETFs are required by law to distribute capital gains in the event, they sell securities for a profit that cannot be offset by a corresponding loss.

Shares of mutual funds are distributed and redeemed on an ongoing basis by the fund itself or a broker acting on its behalf. The trading price at which a share is transacted is equal to a fund's stated daily per share net asset value ("NAV"), plus any shareholders' fees (e.g., sales loads, purchase fees, redemption fees). The per-share NAV of a mutual fund is calculated at the end of each business day, although the actual NAV fluctuates with intraday changes to the market value of the fund's holdings. The trading prices of a mutual fund's shares may differ significantly from the NAV during periods of market volatility, which may, among other factors, lead to the mutual fund's shares trading at a premium or discount to NAV.

Shares of ETFs are listed on securities exchanges and transacted at negotiated prices in the secondary market. ETF shares trade at or near their most recent NAV, which is calculated at least once daily for indexed-based ETFs and more frequently for actively managed ETFs. However, certain inefficiencies may cause the shares to trade at a premium or discount to their pro rata NAV. There is also no guarantee that an active secondary market for such shares will develop or continue to exist. An ETF only redeems shares when aggregated as creation units (usually 50,000 shares or more). Therefore, if a liquid secondary market ceases to exist for shares of a particular ETF, a shareholder may have no way to dispose of such shares.

Item 9 – Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of DMK Advisor Group, Inc. or the integrity of DMK's management. DMK has never been the subject of any customer complaint. Please visit www.brokercheck.com for information concerning the Firm and Harold Schwartz, CEO.

Link to Harold Alan Schwartz's broker-check report:
https://files.brokercheck.finra.org/individual/individual_841225.pdf

Link to FINRA's AWC Letter:
https://www.finra.org/sites/default/files/fda_documents/2019061715601%20Harold%20A.%20Schwartz%20CRD%20841225%20AWC%20jm%20%282019-1576973982195%29.pdf

Link to FINRA's AWC Letter:
https://www.finra.org/sites/default/files/fda_documents/2011025501701_FDA_JM992889%20%282019-1563243562929%29.pdf

Link to Firm's broker-check report:

Item 10 – Other Financial Industry Activities and Affiliations

DMK Advisor Group, Inc. operates as an independent Broker/Dealer and has no revenue sharing arrangements or industry affiliations.

- A. No management persons are registered or have an application pending to register as a broker/dealer. All direct owners and executive officers are DMK-registered representatives.
- B. No management persons are registered or have an application pending to register as a futures commission merchant, commodity pool operator or a commodity trading advisor or an associated representative of the foregoing entities.
- C. There are no relationships or arrangements that are material to our advisory business or to our clients that any of our management persons have with any related person.
- D. DMK does not recommend or select other investment advisors for our clients.

Item 11 – Participation or Interest in Client Transactions and Personal Trading

DMK Advisor Group, Inc. conducts its business with strict adherence to FINRA Rule 2010, Standards of Commercial Honor and Principles of Trade and acts as a fiduciary on behalf of our clients.

“A member, in the conduct of its business, shall observe high standards of commercial honor and just and equitable principles of trade.”

DMK’s interpretation includes strict adherence to Rule 2010 and ensures the confidentiality of client information, a prohibition on insider trading, a prohibition of rumor mongering, restrictions on the acceptance of significant gifts and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things.

The firm observes a Code of Ethics in accordance with SEC Rule 204A-1. Such Code of Ethics, among other things, requires associated persons of the firm to report personal securities holdings and transactions. Such personal securities holdings and transactions are reviewed on a quarterly basis by the Chief Compliance Officer of the firm.

It is further noted that Firm is in and shall continue to be in total compliance with The Insider Trading and Securities Fraud Enforcement Act of 1988. Specifically, Firm has adopted a firm wide policy statement outlining insider trading compliance by Firm and its associated persons and other employees. This statement has been distributed to all associated persons and other employees of Firm and has been signed and dated by each such person. A copy of such firm wide policy is left with such person and the original is maintained in a master file. Further, Firm has adopted a written supervisory procedures statement highlighting the steps which shall be taken to implement the firm wide policy. These materials are also distributed to all associated persons and other employees of Firm, are signed, dated and filed with the insider trading compliance materials. There are provisions adopted for (1) restricting access to files, (2) providing continuing education, (3) restricting and/or monitoring trading on those securities of which Firm's employees may have non-public information, (4) requiring all of Firm's employees to conduct their trading through a specified broker or reporting all transactions promptly to Firm, and (5) monitoring the securities trading of the firm and its employees and associated persons.

Firm or any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.

As these situations may represent a conflict of interest, Firm has established the following restrictions, in order to ensure its fiduciary responsibilities:

- 1) A director, officer or employee of Firm shall not buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on reasonable inquiry. No person of Firm shall prefer his or her own interest to that of the advisory client.
- 2) Firm maintains a list of all securities holdings for itself, and anyone associated with this advisory practice. These holdings are reviewed on a regular basis by Erin Baskett.
- 3) Firm requires that all individuals must act in accordance with all applicable federal and state regulations governing registered investment advisory practices.
- 4) Any individual not in observance of the above may be subject to termination.

DMK anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which DMK has management authority to effect, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which DMK, its affiliates and/or clients, directly or indirectly, have a position of interest. DMK's employees and persons associated with DMK are required to follow the financial industry's Code of Ethics. Subject to satisfying this policy and applicable laws, officers, directors and employees of DMK and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for DMK's clients. The Code of Ethics is designed to assure that the personal securities transactions, activities and interests of the employees of DMK will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts. Under the Code certain classes of securities have been designated as exempt transactions, based upon a determination that these would not materially interfere with the best interest of DMK's clients. In addition, the Code requires pre-clearance of many transactions, and restricts trading in close proximity to client trading activity. Nonetheless, because the Code of Ethics in some circumstances would permit employees to invest in the same securities as clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Employee trading is continually monitored under the Code of Ethics standards, and to reasonably prevent conflicts of interest between DMK and its clients.

Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with DMK's obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. DMK will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the Order.

DMK's clients or prospective clients may request a copy of Rule 2010 by contacting Erin Baskett via email (erin.baskett@dmkadvisorgroup.com) or logging onto the FINRA Website.
(http://finra.complinet.com/en/display/display.html?rbid=2403&element_id=5504)

It is DMK's policy that the firm will not affect any principal or agency cross securities transactions for client accounts. DMK will also not cross trades between client accounts. Principal transactions are defined as transactions where an adviser, acting as principal for its own account or the account of an affiliated broker-dealer, buys from or sells any security to any

advisory client. A principal transaction may also be deemed to have occurred if a security is crossed between an affiliated hedge fund and another client account. An agency cross transaction is defined as a transaction where a person acts as an investment adviser in relation to a transaction in which the investment adviser, or any person controlled by or under common control with the investment adviser, acts as broker for both the advisory client and for another person on the other side of the transaction. Agency cross transactions may arise where an adviser is dually registered as a broker-dealer or has an affiliated broker-dealer.

Item 12 – Brokerage Practices

- A. DMK, being a dually registered Broker/Dealer, does not select or recommend other Broker/Dealers for client transactions.
- B. DMK Advisor Group, Inc. does not receive any soft dollar arrangements.
- C. DMK does not use client brokerage commissions to obtain research or other products or services.
- D. No incentive exists for DMK to recommend a broker/dealer for any reason.
- E. Client may purchase non-managed securities, at their discretion, from the Broker/Dealer.
- F. DMK does not receive client referrals from any outside Broker/Dealer.
- G. All transactions are executed by DMK through its clearing firm.
- H. Clients may purchase securities, at their discretion, for their account that are not included in the managed account portfolio. It is understood that a commission will be added for the execution of trades executed outside of their fee-based, no transaction portfolio.
- I. DMK does not aggregate the purchase or sale of securities for various client accounts.

Item 13 – Review of Accounts

- A. Client accounts are reviewed on an ongoing basis. Account reviews are triggered upon receipt of trade and/or investment instructions. Reviews are conducted by Erin Baskett, CCO and/or Harold Schwartz, Firm Principals, on a regular basis.
- B. Absent trading and/or investment activity, customer accounts are reviewed annually.
- C. Direct reporting to clients, under ordinary circumstances, is accomplished through customer statements from Clearing Agent, mutual fund families, alternative investment companies, etc., as appropriate. Statements are provided either monthly or quarterly depending on whether or not there was activity in their account. Client accounts are reviewed with the Investment Advisor at least annually, at which time an emphasis is placed on any changes in the clients' suitability and the suitability of the types of investments included in his/her/their investment account(s).

Item 14 – Client Referrals and Other Compensation

DMK Advisor Group, Inc. does not offer compensation for referrals. DMK Advisor Group, Inc. does not have any fee/revenue sharing agreements with related or non-related parties.

Item 15 – Custody

DMK is an introducing Broker/Dealer and all client accounts are custodied at its clearing agent. Our clearing firm provides clients with at least quarterly statements from the broker dealer. DMK urges you to carefully review such statements and compare such official custodial records to the account statements that we provide to you. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

Item 16 – Investment Discretion

DMK Advisor Group, Inc. accepts both discretionary and non-discretionary accounts. Clients may choose to include or exclude security classes from their accounts. But, for the most part, clients rely on the Chief Investment Officer (“CIO”) for security selection and allocation. All clients and perspective clients are interviewed prior to any trading in their accounts and all of the suitability issues and risk tolerances are discussed in great detail.

Upon opening an investment account, all advisory clients agree to and sign a Discretionary Account Agreement prior to the entry and execution of any trades.

Item 17 – Voting Client Securities

As a matter of firm policy and practice, DMK does not have any authority to and does not vote proxies on behalf of advisory clients. Clients retain the responsibility for receiving and voting proxies for any and all securities maintained in client portfolios. DMK may provide advice to clients regarding the clients’ voting of proxies. Proxies, or other solicitations, are provided by our clearing agent or transfer agent. These notifications are not provided by DMK.

Item 18 – Financial Information

- A. DMK does not require or solicit of more than \$1,200.00 in fees, per client, six months or more in advance. DMK has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients.
- B. Custody of client funds and securities resides with our clearing agent, National Financial Services, a division of Fidelity Investments. Beginning in September 2024, the firm contracted with Hilltop Securities Inc to become its clearing agent. Our current clearing firms are listed at all times on our Brokercheck Report here: [firm 41067.pdf \(finra.org\)](#). Neither DMK Advisor Group, Inc. nor its predecessor, have ever been the subject of a bankruptcy.

Item 19 – Requirements for State Advisers

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of DMK Advisor Group, Inc. or the integrity of DMK’s management. DMK has never been the subject of any customer complaint, criminal or civil proceedings from any regulatory agencies or self-regulatory organizations.

DMK Advisor Group, Inc. has professional liability insurance coverage.

Erin Baskett – CCO

Ms. Baskett serves as Chief Compliance Officer. Erin Baskett earned her Masters in Accounting from Lindenwood University and her B.S. in Business from the University of Missouri. She

began her professional career in the back office of A.G. Edwards. From 2001 through late 2003 she assisted in the broker dealer operations, insurance, and annuity department of A.G. Edwards. From 2004 through mid 2010 she worked in a full service certified public accounting, audit and consulting firm, during which time she obtained her certification as a CPA, and managed numerous client engagements. In 2010, she joined Smith, Moore & Co (dually registered and self-clearing Broker Dealer and Registered Investment Advisory firm) and held the titles of CFO, Director of H.R. and Internal Audit congruently until receiving the opportunity in August of 2012 to create Autonomous Research US LP. At Autonomous Research, she managed the Investment Research broker dealer with an international presence, providing research coverage of all main US, Asian and European financial institutions; as well as offering execution services with offices in New York, London and Hong Kong. In 2019 Ms. Baskett started Sine Qua Non Global, a consulting firm, through which she supports broker dealers in the role of CCO, CEO and or FinOP. Ms. Baskett brings over 6 years of public accounting, audit, and consulting experience as well as 13 years of financial industry experience.

She holds the following:

Series 27 (FINOP - Financial and Operations Principal)

Series 99 (Operations Professional)

Series 4 (Registered Options and Security Futures Principal)

Series 7 (General Securities Representative)

Series 66 (Series 63 and Series 65 Registered Investment Adviser)

Series 14 (Compliance Officer)

Ms. Baskett is a FINRA District Committee Member, as well as:

CPA - Certified Public Accountant

CGMA- Chartered Global Management Accountant

CHRS - Certified Human Resources Specialist

Ms. Baskett is engaged in outside business activities (OBA). To wit:

She is chief executive officer of SQN Global, a COO and FINOP consultancy

Ms. Baskett is not compensated for advisory services with performance-based fees.

Ms. Baskett has no adverse disciplinary history.

Ms. Baskett has no relationship or arrangement, nor do any DMK management persons, with any issuer of securities.

Peter Galligan – Financial Principal

Mr. Galligan has over 25 years of professional finance and technology management experience. Prior to Joining OpenLogic he was the Chief Operating Officer at Information Management Research where he was in charge of worldwide operations of the company. Mr. Galligan was instrumental in establishing a profitable, professional services group and technical support team that delivered ROI to customers in 42 countries. He, earlier, held the office of VP Finance at IMR, leading the company through three rounds of successful financing. Mr. Galligan also has 20 years of experience in brokerage accounting and compliance. He holds Series 7, 27, and 24 licenses. In addition to DMK Advisor Group, Inc., formerly known as Stephen A. Kohn and Associates, Ltd., he has held several Financial Principal positions at various companies over the past several years.

Mr. Galligan is engaged in both investment related and non-investment related outside business activities (OBA). To wit:

Drud Technology, LLC- Drud is a Container based hosting platform and local

development tool. My duties with Drud are to serve in the role of the Chief Revenue Officer (CRO) in charge of sales and subscriptions to marketing agencies wanting to host on the Drud Platform. I'm also in charge of operation and accounting. I'm an officer of the corporation. My commitment to Drud is 32-40 hours a week. Drud is a non-public company that is privately owned. 27 Fin Services LLC- Is an LLC that bills the next 3 companies as a business entity. DMK Financial Group, Inc. (formerly Stephen A Kohn and Associates, Ltd.) I serve as Financial Principal for this fully disclosed broker dealer. I devote 10 hours a week to this firm, which is a small brokerage firm. I have been with this firm for over 17 years. Altegris Investments- I have been a consultant with Altegris for approximately 15 years in various capacities including fractional CFO and consultant. Currently I'm serving as the Financial Principal and have a staff of 3 accountants I work with in the accounting department. I devote 20 to 30 hours a week. I have been the interim financial principal since July 2018. Landlord of Rental Property- I have a rental property in Northglenn Colorado That I rent out to tenants. I devote 1-3 hours a week to this activity.

Mr. Galligan is not compensated for advisory services with performance-based fees.

Mr. Galligan has no adverse disciplinary history.

Mr. Galligan has no relationship or arrangement, nor do any DMK management persons, with any issuer of securities.