## **DMK Advisor Group**

**ORGANIZATION CHART** 

## PRINCIPALS



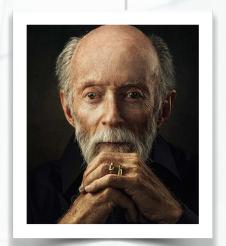
Erin Baskett **Chief Compliance** Officer, Principal

CRD# 4538604 Series 4 (Registered Options and Security Futures Principal) Series 7 (General Securities Representative) Series 14 (Compliance Officer) Series 24 (General Securities Principal) Series 27/28 (FINOP -Financial and Operations Principal) Series 55/57 (Securities Trader) Series 66 (Series 63 and Series 65 Registered Investment Adviser) Series 99 (Operations Professional)



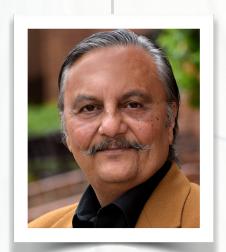
Pete Galligan Financial Principal CRD# 1873304

Series 7 (General Securities Representative), Series 24 (General Securities Principal) Series 27 (FINOP - Financial Principal), Series 63 (Uniform Security Agents License)



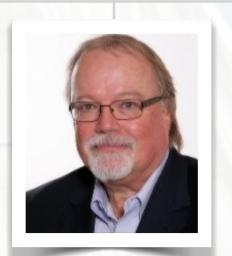
Stephen Kohn Municipal Principal CRD# 1267211

Series 7 (General Securities Representative). Series 14 (Compliance Officer) Series 24 (General Securities Principal) Series 53 (Municipal Securities Principal), Series 63 (Uniform Security Agents License), Series 72 (Government Securities Representative), Series 73 (Government Securities Broker), Series 79 (Investment Banking Representative), Series 99 (Operations Professional)



Sunil Misra Principal CRD# 5617829

Series 6 (Variable Contracts Representative), Series 7 (General Securities Representative), Series 24 (General Securities Principal) Series 66 (Series 63 and Series 65 Registered *Investment Adviser)* Securities Industry Essentials



John Ohman **Options Principal** CRD# 1059085

Series 4 (Registered Options and Security Futures Principal), Series 5 (Interest Rate Options), Series 7 (General Securities Representative), Series 15 (Foreign Currency Options), Series 24 (General Securities Principal) Series 30 (NFA Branch Manager), Series 63 (Uniform Security Agents License), Series 65 Registered Investment Adviser, Securities Industry Essentials

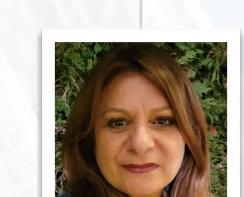


Hal Schwartz **Chief Executive Officer** Chief Investment Officer Principal

## CRD# 841225

Series 1 Registered Representative Series 7 (General Securities Representative), Series 24 (General Securities Principal) Series 66 (Series 63 and Series 65

Registered Investment Adviser)



Ann Marie

Russo

Manager of Fixed

Insurance Sales

NPN# 3298153

Life and Health Insurance Producer; Broker's License Property & Casualty and Health Insurance



Alejandra Bros Account Manager



Shelby Plichta Commissions Analyst

## **OPERATIONS**



Catherine Chaney Bowman **Chief Marketing** Officer, PR Director



Karen Schwartz Secretary / Treasurer, **Director of Operations** 



