

BrokerCheck Report
SUNIL DUTT MISRA
 CRD# 5617829

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
 Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**SUNIL D. MISRA**

CRD# 5617829

Currently employed by and registered with the following Firm(s):

- IA DMK ADVISOR GROUP, INC.**
Orange Park, FL
CRD# 41067
Registered with this firm since: 07/02/2025
- IA COMPASS FINANCIAL MANAGEMENT LLC**
3000 Hartlet Rd. Ste. 5
Jacksonville, FL 32257
CRD# 156345
Registered with this firm since: 05/13/2021
- B DMK ADVISOR GROUP, INC.**
17961 HUNTING BOW CIRCLE
SUITE 102
LUTZ, FL 33558
CRD# 41067
Registered with this firm since: 03/29/2019

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 7 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA ROYAL ALLIANCE ASSOCIATES, INC.**
CRD# 23131
SCOTTSDALE, AZ
01/2018 - 04/2019
- B ROYAL ALLIANCE ASSOCIATES, INC.**
CRD# 23131
JACKSONVILLE, FL
06/2015 - 04/2019
- IA NEW CENTURY FINANCIAL GROUP, LLC**
CRD# 104553
PRINCETON, NJ
08/2015 - 07/2018

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **COMPASS FINANCIAL MANAGEMENT LLC**

Main Office Address: **2422 W. SUNSET DRIVE
TAMPA, FL 33629**

Firm CRD#: **156345**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	05/18/2021

Branch Office Locations

3000 Hartlet Rd. Ste. 5
Jacksonville, FL 32257

Employment 2 of 2

Firm Name: **DMK ADVISOR GROUP, INC.**

Main Office Address: **17961 HUNTING BOW CIRCLE
SUITE 102
LUTZ, FL 33558**

Firm CRD#: **41067**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	03/29/2019
B	FINRA	General Securities Representative	Approved	12/03/2019
B	FINRA	General Securities Principal	Approved	01/14/2021



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/29/2019
IA	California	Investment Adviser Representative	Approved	07/02/2025
B	Florida	Agent	Approved	09/19/2019
IA	Florida	Investment Adviser Representative	Approved	08/05/2025
B	Georgia	Agent	Approved	03/29/2019
IA	Indiana	Investment Adviser Representative	Approved	07/02/2025
B	North Carolina	Agent	Approved	03/29/2019
B	North Dakota	Agent	Approved	03/29/2019
IA	North Dakota	Investment Adviser Representative	Approved	07/08/2025
B	South Carolina	Agent	Approved	03/29/2019

Branch Office Locations

DMK ADVISOR GROUP, INC.
Orange Park, FL

DMK ADVISOR GROUP, INC.
17961 HUNTING BOW CIRCLE
SUITE 102
LUTZ, FL 33558



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/14/2021

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	12/03/2019
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/17/2014
B General Securities Representative Examination	Series 7	01/13/2009

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/14/2014
B IA Uniform Combined State Law Examination	Series 66	02/13/2009

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2022 - 11/2022	DMK ADVISOR GROUP, INC.	41067	Jacksonville, FL
IA 08/2019 - 12/2021	DMK ADVISOR GROUP, INC.	41067	Jacksonville, FL
IA 01/2018 - 04/2019	ROYAL ALLIANCE ASSOCIATES, INC.	23131	JACKSONVILLE, FL
B 06/2015 - 04/2019	ROYAL ALLIANCE ASSOCIATES, INC.	23131	JACKSONVILLE, FL
IA 08/2015 - 07/2018	NEW CENTURY FINANCIAL GROUP, LLC	104553	JACKSONVILLE, FL
B 01/2014 - 07/2015	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ
IA 06/2009 - 10/2010	PARK AVENUE SECURITIES LLC	46173	JACKSONVILLE, FL
B 06/2009 - 10/2010	PARK AVENUE SECURITIES LLC	46173	JACKSONVILLE, FL
IA 02/2009 - 05/2009	AMERIPRISE FINANCIAL SERVICES, INC.	6363	JACKSONVILLE, FL
B 01/2009 - 05/2009	AMERIPRISE FINANCIAL SERVICES, INC.	6363	JACKSONVILLE, FL

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2020 - Present	DMK Advisor Group Inc.	Vice President	Y	Lakewood, CO, United States
05/2011 - Present	INDUS INTERNATIONAL LLC	MANAGING PARTNER	N	JACKSONVILLE, FL, United States
03/2011 - Present	SUNIL MISRA LLC	OWNER	N	ORANGE PARK, FL, United States
04/2009 - Present	GUARDIAN LIFE INSURANCE COMPANY	BROKER	Y	JACKSONVILLE, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2019 - 12/2019	Stephen A. Kohn & Associates, Ltd.	REGISTERED REP	Y	Lakewood, CO, United States
06/2015 - 03/2019	ROYAL ALLIANCE ASSOCIATES	REGISTERED REPRESENTATIVE	Y	JACKSONVILLE, FL, United States
07/2015 - 03/2018	NEW CENTURY FINANCIAL GROUP, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	JACKSONVILLE, FL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) INDUS INTERNATIONAL LLC - FIXED INSURANCE PRODUCTS -MANAGING PARTNER. INVESTMENT RELATED: No DEVOTE APPROX: 20-40 HRS PER WEEK START DATE: 05/02/2011 2) COMPASS FINANCIAL MANAGEMENT LLC - RIA INVESTMENT RELATED: No DEVOTE APPROX: 20 HRS PER WEEK 2422 W Sunset Dr. Tampa, FL 33629 Phone: (813)831-5168. Managed Advisory accounts, 20-40 per week. 3) ROTARY CLUB OF ORANGE PARK SUNSET POSITION: Board Member NATURE: Non-Profit Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 8 PER MONTH SECURITIES TRADING HOURS: 0 START DATE: 07/01/2015 ADDRESS: 620 Wells Rd, ORANGE PARK FL 32073 DESCRIPTION: Attend board meetings and provide support to the Board. 4) SUNIL MISRA LLC POSITION: Managing Partner/Owner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 10 PER MONTH SECURITIES TRADING HOURS: 0 START DATE: 3/23/2011 ADDRESS: 3489 Laurel Mill Dr. Orange Park, FL 32065 DESCRIPTION: IT Consulting Services-project management, business analysis and programming

End of Report



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