

Stephen Kohn has been employed in the financial services industry since 1984. In 1996, he founded FINRA member firm, Stephen A, Kohn & Associates, Ltd. and recently passed ownership onto the DMK Advisor Group, Inc. (“DMK”), in Lakewood, Colorado, remaining as President and CCO. DMK is a small, Independent Broker/Dealer, catering to the needs of forty-five independent representatives and their clients, with office locations in eight states and Puerto Rico, registered in forty-one states and territories. Mr. Kohn holds Series 7, 24, 53, 63, 72, 73, 79 and 99 registrations. He has the distinction of having been elected twice to the National Adjudicatory Council (“NAC”) in 2009 and 2014.

Mr. Kohn also serves as an Industry Arbitrator and has been elected to the District 3 Committee. He was elected to the Board of Governors in 2017, representing the Small Broker/Dealer Community. Mr. Kohn graduated from C.W. Post College in 1964 with a BA degree. He has the distinction of having served in the U.S. Coast Guard Reserve.

Well known to those in the NASD and now FINRA small-firm community as a passionate and persistent advocate for small broker/dealers, who comprise 92% of FINRA membership, Mr. Kohn continues to speak out on behalf of his industry constituents and colleagues. He intends to remain active in the FINRA reform movement and urges all like-minded industry participants to reach out to him in full confidence concerning any and all matters.