# IAPD Report

# MICHAEL JOSEPH SULLIVAN

CRD# 1292837

# IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

**What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

**Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

**How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

**Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

**What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

# Report Summary

## MICHAEL JOSEPH SULLIVAN (CRD# 1292837)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/22/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793 | 11/25/2013 |
| IA | STIFEL, NICOLAUS & COMPANY, INCORPORATED | CRD# 793 | 11/25/2013 |

## QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **39** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

## REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

| | FIRM | CRD# | LOCATION | REGISTRATION DATES |
|---|---|---|---|---|
| IA | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | GARDEN CITY, NY | 10/07/1985 - 11/26/2013 |
| B | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | GARDEN CITY, NY | 08/21/1984 - 11/26/2013 |
| B | BANC OF AMERICA SECURITIES LLC | 26091 | NEW YORK, NY | 01/02/2009 - 11/01/2010 |

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

## DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type | Count |
|---|---|
| Regulatory Event | 1 |

 

# Qualifications

## REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **39** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Cboe BZX Exchange, Inc. | General Securities Representative | Approved | 11/25/2013 |
| B | Cboe EDGA Exchange, Inc. | General Securities Representative | Approved | 07/22/2026 |
| B | Cboe EDGX Exchange, Inc. | General Securities Representative | Approved | 07/22/2026 |
| B | FINRA | General Securities Representative | Approved | 11/25/2013 |
| B | Investors' Exchange LLC | General Securities Representative | Approved | 07/22/2026 |
| B | NYSE American LLC | General Securities Representative | Approved | 11/25/2013 |
| B | NYSE Texas, Inc. | General Securities Representative | Approved | 07/22/2026 |
| B | Nasdaq ISE, LLC | General Securities Representative | Approved | 07/22/2026 |
| B | Nasdaq PHLX LLC | General Securities Representative | Approved | 11/25/2013 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 11/25/2013 |
| B | New York Stock Exchange | General Securities Representative | Approved | 11/25/2013 |
| B | Alabama | Agent | Approved | 09/24/2025 |
| B | Arizona | Agent | Approved | 10/18/2024 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Arkansas | Agent | Approved | 03/09/2026 |
| B | California | Agent | Approved | 11/25/2013 |
| B | Colorado | Agent | Approved | 11/25/2013 |
| B | Connecticut | Agent | Approved | 11/25/2013 |
| B | Delaware | Agent | Approved | 04/09/2021 |
| B | District of Columbia | Agent | Approved | 01/30/2024 |
| B | Florida | Agent | Approved | 11/25/2013 |
| IA | Florida | Investment Adviser Representative | Approved | 05/08/2025 |
| B | Georgia | Agent | Approved | 03/31/2016 |
| B | Illinois | Agent | Approved | 11/25/2013 |
| B | Indiana | Agent | Approved | 03/21/2023 |
| B | Iowa | Agent | Approved | 03/08/2023 |
| B | Kentucky | Agent | Approved | 12/28/2015 |
| B | Louisiana | Agent | Approved | 07/10/2025 |
| B | Maine | Agent | Approved | 10/17/2016 |
| B | Maryland | Agent | Approved | 08/17/2016 |
| B | Massachusetts | Agent | Approved | 12/02/2013 |
| B | Michigan | Agent | Approved | 11/15/2019 |
| B | Missouri | Agent | Approved | 01/02/2014 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Montana | Agent | Approved | 07/15/2025 |
| B | Nevada | Agent | Approved | 08/24/2020 |
| B | New Hampshire | Agent | Approved | 04/01/2016 |
| B | New Jersey | Agent | Approved | 11/25/2013 |
| B | New Mexico | Agent | Approved | 04/07/2014 |
| B | New York | Agent | Approved | 11/25/2013 |
| IA | New York | Investment Adviser Representative | Approved | 05/26/2021 |
| B | North Carolina | Agent | Approved | 02/28/2020 |
| B | Ohio | Agent | Approved | 07/13/2015 |
| B | Pennsylvania | Agent | Approved | 08/27/2015 |
| B | Rhode Island | Agent | Approved | 01/05/2026 |
| B | South Carolina | Agent | Approved | 11/25/2013 |
| B | South Dakota | Agent | Approved | 03/07/2022 |
| B | Tennessee | Agent | Approved | 01/19/2023 |
| IA | Texas | Investment Adviser Representative | Approved | 11/25/2013 |
| B | Texas | Agent | Approved | 06/07/2017 |
| B | Utah | Agent | Approved | 01/02/2025 |
| B | Virginia | Agent | Approved | 11/25/2013 |
| B | Washington | Agent | Approved | 02/29/2024 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Wisconsin | Agent | Approved | 06/07/2017 |
| B | Wyoming | Agent | Approved | 05/02/2023 |

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**
1225 FRANKLIN AVENUE
SUITE 150
GARDEN CITY, NY  11530

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**
VERO BEACH, FL

 

# Qualifications

## PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

| Exam | Category | Date |
|---|---|---|
| No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | Futures Managed Funds Examination (S31) | Series 31 | 06/12/1997 |
| B | General Securities Representative Examination (S7) | Series 7 | 08/18/1984 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 05/05/2025 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/29/1984 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

# Registration & Employment History

## PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

| | Registration Dates | Firm Name | ID# | Branch Location |
|---|---|---|---|---|
| IA | 10/07/1985 - 11/26/2013 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | GARDEN CITY, NY |
| B | 08/21/1984 - 11/26/2013 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | GARDEN CITY, NY |
| B | 01/02/2009 - 11/01/2010 | BANC OF AMERICA SECURITIES LLC | CRD# 26091 | NEW YORK, NY |

## EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|---|---|---|---|---|
| 11/2013 - Present | STIFEL NICOLAUS & CO INC | FINANCIAL ADVISOR | Y | GARDEN CITY, NY, United States |

## OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. 103 BROAD STREET, LLC; 107 BROAD STREET WILLISTON PARK NY 11596;REAL ESTATE/HOME REFURBISHMENT;PARTNER; 50/50 PARTNER W/MY BROTHER IN LAW PUTTING UP THE MONEY; CASH INVESTMENTS; AFFILIATION STARTED 10/13/2014, 0 HOURS PER DAY, NOT DURING SECURITIES TRADING HOURS.
2. Metropolitan Golf Association; 49 Knollwood Road, Elmsford, NY 10523; Golf Association; President; Volunteer/Leadership; affiliation started 12/07/2016; 5.0 hours per month; not during securities trading hours; not investment-related.
3. Long Island Caddy Scholarship; 114 Old Country Road Mineola NY 11501; College Scholarships;  President; Volunteer/ Leadership; affiliation started 01/21/2014; 5.0 hours per month; not during securities trading hours; not investment-related.
4. Lesley Cup; 49 Knollwood Road, Elmsford, NY 10523; Oldest team golf competition in North America involving four regional golf associations; One of three board members representing the Metropolitan Golf Association; One meeting and golf tournament per year; 01/01/2019; 8.00 Hour(s) Per Year; Not during securities trading hours; Not Investment-Related.
5. Dryvebox Inc; 6510 Millrock Drive, Ste 400, Salt Lake City, UT 84121; Golf Simulator technology; Advisor; Leverage golf contacts and expertise in the golf world; 06/15/2021; 1 Hour per Week; Not During Securities Trading Hours; Not Investment-Related.

# Disclosure Summary

## Disclosure Information

**What you should know about reported disclosure events:**

**(1) Certain thresholds must be met before an event is reported to IARD, for example:**

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

**(2) Disclosure events in IAPD reports come from different sources:**

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

**(3) There are different statuses and dispositions for disclosure events:**

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

**(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.**

 

## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

| Type | Count |
| --- | --- |
| Regulatory Event | 1 |

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

| | |
| --- | --- |
| **Reporting Source:** | Regulator |
| **Regulatory Action Initiated By:** | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| **Sanction(s) Sought:** | |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 01/31/1989 |
| **Docket/Case Number:** | NY-7000-AWC |
| **Employing firm when activity occurred which led to the regulatory action:** | |
| **Product Type:** | |
| **Other Product Type(s):** | |
| **Allegations:** | |
| **Current Status:** | Final |
| **Resolution:** | Consent |
| **Resolution Date:** | 01/31/1989 |
| **Sanctions Ordered:** | Censure<br>Monetary/Fine $1,750.00 |
| **Other Sanctions Ordered:** | |
| **Sanction Details:** | |
| **Regulator Statement** | ON JANUARY 30, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-7000-AWC (DISTRICT NO. 12) SUBMITTED BY |

 

RESPONDENTS MERRILL LYNCH, PIERCE, FENNER & SMITH, INC., ROGER THOMAS PATCH, MALCOLM MURDOCH MATHESON, JOHN TRAINOR KURZAVA,
JR., JOEL HERBERT MESHEL, PHILIP ROBERT DOSTER, SCOTT LANE RAIDER, MITCHELL PLAAT, MICHAEL JOSEPH SULLIVAN, STEPHEN GARDINER MANTIUS AND ALFRED HANS WALBRECKER, JR. WAS ACCEPTED;
THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $7,500.00, RESPONDENT PATCH IS CENSURED AND FINED $2,000.00; RESPONDENT MATHESON IS CENSURED AND FINED $1,500.00; RESPONDENT KURZAVA, JR. IS CENSURED AND FINED $1,000.00; RESPONDENT MESHEL IS CENSURED AND FINED $1,000.00; RESPONDENT DOSTER IS CENSURED AND
FINED $1,000.00; RESPONDENT RAIDER IS CENSURED AND FINED $1,250.00; RESPONDENT PLAAT IS CENSURED AND FINED $1,250.00; RESPONDENT SULLIVAN IS CENSURED AND FINED $1,750.00; RESPONDENT
WALBRECKER, JR. IS CENSURED AND FINED $1,250.00; AND RESPONDENT MANTIUS IS CENSURED AND FINED $1,250.00 (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, FROM ITS ALLOCATION OF SHARES WHICH TRADED AT AN IMMEDIATE PREMIUM IN THE
SECONDARY MARKET AND ACTING THROUGH RESPONDENTS PATCH, MATHESON,
KURZAVA, MESHEL, DOSTER, RAIDER, PLAAT, SULLIVAN, MANTIUS AND WALBRECKER, SOLD SHARES TO RESTRICTED PERSONS AT THE PUBLIC OFFERING PRICE IN CONTRAVENTION OF THE BOARD OF GOVERNORS INTERPRETATION WITH RESPECT TO FREE-RIDING AND WITHHOLDING).
$1,750 PAID J&S 3/15/89 - DEPOSIT #467

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| **Sanction(s) Sought:** | Other |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 01/31/1989 |
| **Docket/Case Number:** | NY-7000-AWC |
| **Employing firm when activity occurred which led to the regulatory action:** | MERRILL LYNCH |
| **Product Type:** | Other |
| **Other Product Type(s):** | SYNDICATE TRADE |
| **Allegations:** | SOLD 100 SHARES OF ORACLE ON 3/22/86 TO A RESTRICTED PERSON IN CONTRAVENTION OF THE NASD FREE RIDING POLICY. |
| **Current Status:** | Final |
| **Resolution:** | Consent |
| **Resolution Date:** | 01/31/1989 |
| **Sanctions Ordered:** | Censure<br>Monetary/Fine $1,750.00 |

 

| | |
|---|---|
| **Other Sanctions Ordered:** | N/A |
| **Sanction Details:** | N/A |
| **Broker Statement** | ON JANUARY 30, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-7000-AWC (DISTRICT NO. 12)SUBMITTED BY RESPONDENTS MERRILL LYNCHM PIERCE, FENNER & SMITH INC. ROGER THOMAS PATCH, MALCOLM MURDOCH MATHESON, JOHN TRAINOR KURZAVA, JR. JOEL HERBERT MESHEL, PHILIP ROBERT DOSTER, SCOTT LANE RAIDER, MITCHELL PLAAT, MICHAEL JOSEPH SULLIVAN, STEPHEN GARDINER MANTIUS AND ALFRED HANS WALBRECKER JR. WAS ACCEPTED;THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $7,500.00, RESPONDENT PATCH IS CENSURED AND FINED 2,000.00; RESPONDENT MATHESON IS CENSURED AND FINED $1,500.00; RESPONDENT KURZAVA, JR. IS CENSURED AND FINED $1,000.00;RESPONDENT MESHEL IS CENSURED AND FINED $1,000.00; RESPONDENT DOSTER IS CENSURED AND FINED $1,000.00; RESPONDENT RAIDER IS CENSURED AND FINED $1,250.00; RESPONDENT PLAAT IS CENSURED AND FINED $1,250.00; RESPONDENT SULLIVAN IS CENSURED AND FINED $1, 750.00; RESPONDENT WALBRECKER, JR. IS CENSURED AND FINED $1,250.00; AND RESPONDENT MANTIUS IS CENSURED AND FINED $1,250.00(ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE- RESPONDENTMEMBER,FROM ITS ALLOCATION OF SHARES WHICH TRADED AT AN IMMEDIATE PREMIUM IN THE SECONDARY MARKET AND ACTING THROUGH RESPONDENTS PATCH, MATHESON, KURZAVA, MESHEL, DOSTER, RAIDER, PLAAT, SULLIVAN, MANTIUS AND WALBRECKER, SOLD SHARES TO RESTRICTED PERSONS AT THE PUBLIC OFFERING PRICE IN CONTRAVENTION OF THE BOARD OF GOVERNORS INTERPRETATION WITH RESPECT TO FREE-RIDING AND WITHHOLDING)$1,1750 PAID J& S 3/15/89 DEPOSIT #467 |

## End of Report

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