IAPD Report

DONALD NEAL SULLIVAN

CRD# 1979017

Section Title	Page(s)

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.

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

Report Summary

DONALD NEAL SULLIVAN (CRD# 1979017)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CREATIVEONE SECURITIES, LLC	CRD# 152974	01/09/2015
IA	CREATIVEONE SECURITIES, LLC	CRD# 152974	01/13/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	EDWARD JONES	250	BRISTOW, OK	10/07/2013 - 10/22/2014
B	EDWARD JONES	250	BRISTOW, OK	09/16/2013 - 10/22/2014
B	EDWARD JONES	250	INDEPENDENCE, KS	08/24/1989 - 08/31/2009

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
Customer Dispute	3

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 **26** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CREATIVEONE SECURITIES, LLC**

Main Address: 6330 SPRINT PARKWAY, SUITE 400
OVERLAND PARK, KS 66211

Firm ID#: 152974

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/09/2015
B	Arizona	Agent	Approved	03/02/2023
B	California	Agent	Approved	11/25/2019
B	Colorado	Agent	Approved	12/13/2019
B	Florida	Agent	Approved	01/13/2015
IA	Florida	Investment Adviser Representative	Approved	01/13/2015
B	Georgia	Agent	Approved	01/26/2015
B	Illinois	Agent	Approved	01/03/2019
B	Indiana	Agent	Approved	11/18/2019
B	Iowa	Agent	Approved	01/13/2026
B	Kansas	Agent	Approved	01/13/2023
B	Kentucky	Agent	Approved	03/02/2026
IA	Louisiana	Investment Adviser Representative	Approved	01/05/2026

Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	06/16/2020
B	Michigan	Agent	Approved	02/16/2017
B	Missouri	Agent	Approved	01/16/2015
B	Nevada	Agent	Approved	01/23/2023
B	New Jersey	Agent	Approved	08/15/2023
B	New Mexico	Agent	Approved	01/02/2025
B	New York	Agent	Approved	11/14/2016
B	North Carolina	Agent	Approved	03/02/2018
B	Ohio	Agent	Approved	10/18/2016
B	Oklahoma	Agent	Approved	01/22/2015
IA	Oklahoma	Investment Adviser Representative	Approved	01/18/2023
B	Pennsylvania	Agent	Approved	01/28/2016
B	Tennessee	Agent	Approved	02/09/2026
B	Texas	Agent	Approved	01/02/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/02/2026
B	Virginia	Agent	Approved	05/27/2016
B	Washington	Agent	Approved	11/04/2020

Branch Office Locations

CREATIVEONE SECURITIES, LLC

Qualifications

7077 BONNEVAL RD
STE 390
JACKSONVILLE, FL 32216

CREATIVEONE SECURITIES, LLC
1835 E West Parkway
Suite 9
Fleming Island, FL 32003

CREATIVEONE SECURITIES, LLC
1750 Tree Blvd
Suite 9
St. Augustine, FL 32084

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, 2 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	General Securities Representative Examination (S7)	Series 7	09/16/2013

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/04/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/13/1989

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	10/07/2013 - 10/22/2014	EDWARD JONES	CRD# 250	BRISTOW, OK
B	09/16/2013 - 10/22/2014	EDWARD JONES	CRD# 250	BRISTOW, OK
B	08/24/1989 - 08/31/2009	EDWARD JONES	CRD# 250	INDEPENDENCE, KS

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
01/2015 - Present	CreativeOne Securities, LLC formerly Client One Securities, LLC	Registered Representative/Investment Adviser Representative	Y	Overland Park, KS, United States
08/2009 - Present	DON SULLIVAN MINISTRIES	PRESIDENT	N	LOCUST GROVE, OK, 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) DON SULLIVAN MINISTRIES; NOT INVESTMENT-RELATED; PONTE VEDRA BEACH, FL 32082; NON-PROFIT; PRESIDENT; BEGAN AUG 2009; APPROXIMATELY 12 HOURS PER MONTH, WITH 0 HOURS DURING SECURITIES TRADING HOURS; MINISTER AND OVERSEAS MISSION TRIPS.

(2) DS DRELICH AND ASSOCIATES; INVESTMENT-RELATED; 7077 BONNEVAL ROAD, STE 390, JACKSONVILLE, FL 32216 FIXED AND INDEXED ANNUITIES, LIFE INSURANCE; AGENT; BEGAN JAN 2015; APPROXIMATELY 10 HOURS PER MONTH, WITH 5 HOURS DURING SECURITIES TRADING HOURS; SALES AND SERVICE.

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
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CREATIVEONE SECURITIES, LLC
Allegations:	Customer states rep did not keep short term investment time horizon and liquidity needs in mind when placing trades within client portfolio. In addition, client alleges transactions were executed without his consent.
Product Type:	Mutual Fund
Alleged Damages:	$47,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/16/2022
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/17/2024
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Client One
Allegations:	I spoke with [REDACTED] on October 22, 2018 and answered many questions. He then called back in February and set his first appointment on February 6th, 2019. We then did the fact finder to find and decide what type of investments would be the most appropriate for his situation. Based on his answers to the questions he wanted to be able to participate in the market, but have limited downside risk. We then discussed the CUNA MUTUAL Variable Annuity. It was fully explained to him how it worked, what it was, how long of a surrender there was, and all fees involved. It was fully stated that this was a variable annuity product. We then filled out paperwork and submitted the CUNA APPLICATION on the same day. He decided to transfer two different investments into the one CUNA contract totaling about $11,000. The first transfer came in a very timely manner and the contract issued on February 15, 2019. The second transfer did not arrive until April 15th, 2019. In between February 15th and April 15th there was a phone call with the client were he expressed some concerns about annuities. He had been listening to someone who was stating that all annuities were bad. I went over the product again and explained how it worked. At that time he decided to keep it and let the remaining money transfer into it. He was asked to stop by and pick up the contract and never did. We tried reaching him by phone several times and he never answered. On April 15, the additional funds arrived and CUNA started the Risk control Account on April 25, 2019. We reached out to him again a few more times and he never answered or returned our calls. So on May 23, 2019 we mailed to contract to him. He then took 14 more days to contact us to make an appointment with questions. At the appointment on June 11, 2019, he decided he did not want his money invested in the CUNA annuity. I told him he could exercise his free look period and move the money somewhere else. My assistant printed out the free look form and got information from CUNA of how to proceed. We helped him fill out the form and faxed it to CUNA for him. He was perfectly happy when he left the office.
Product Type:	Annuity-Variable
Alleged Damages:	$11,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/25/2019
Complaint Pending?	No
Status:	Settled
Status Date:	07/16/2019
Settlement Amount:	$11,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Cuna gave the client back the $11,000 due to the free look prevision because we were within the 20 day window. No other action was taken.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	1/1/08-7/30/09; CLIENT CLAIMS SHE HAS SUFFERED SIGNIFICANT FINANCIAL DAMAGE AS A RESULT OF HER ASSET ALLOCATION. CLIENT STATES SHE WAS INVESTED IN AGGRESSIVE GROWTH AND GROWTH MUTUAL FUNDS THAT WERE NOT SUITABLE FOR HER. CLIENT ALSO STATES SHE IS OVER-WEIGHTED IN THE FINANCIAL SECTOR IN BONDS THAT ARE BELOW INVESTMENT GRADE. CLIENT CLAIMS SHE HAS OTHER BONDS AT THE LOWEST INVESTMENT GRADE RATING, WHICH HAVE LOST MONEY. CLIENT CLAIMS THE FA HAS NOT CONTACTED HER WITH SUITABLE ADVICE. CLIENT WANTS HER ORIGINAL INVESTMENTS RETURNED TO HER THAT WERE PUT IN UNSUITABLE INVESTMENTS.
Product Type:	Mutual Fund Other: VARIOUS BONDS
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/30/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/07/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	ACCORDING TO CLIENT'S PORTFOLIO, CLIENT IS NOT INVESTED IN ANY

AGGRESSIVE GROWTH. GROWTH INVESTMENTS CONSIST OF ONE MUTUAL FUND WHICH IS APPROXIMATELY 6% OF CLIENTS STATED NET WORTH. FA STATED CLIENT PREFERRED TAX FREE BOND FUNDS SO SHE COULD ADD TO THEM, WHICH SHE DID ON SEVERAL OCCASIONS DURING 2005, 2006, 2007 AND 2008. FA STATES HE EXPLAINED EACH INVESTMENT IN DETAIL TO CLIENT AND PROVIDED CHARTS SHOWING HISTORICAL PERFORMANCE. CLIENT STATEMENT INDICATES SHE HAS UNDER 2% OF HER STATED NET WORTH IN THE FINANCIAL SECTOR. FA STATES, ALL OF THE BONDS CLIENT OWNS WERE RATED "A" OR ABOVE WHEN PURCHASED. ALL BUT ONE BOND ARE PAYING INTEREST PAYMENTS TO CLIENT AT THIS TIME. CLIENT'S INVESTMENT OBJECTIVES INCLUDED INCOME, AGGRESSIVE INCOME, GROWTH/INCOME AND GROWTH. STATEMENT REFLECTS ALL INVESTMENTS APPEAR TO BE WITHIN THE SCOPE OF THE CLIENTS ACCOUNT OBJECTIVES. CLIENT WAS SENT TRADE CONFIRMATIONS FOR EACH PURCHASE, PROSPECTUSES, WHEN APPLICABLE, AND RECEIVED ACCOUNT STATEMENTS REFLECTING HOLDINGS AND ACCOUNT ACTIVITY.

End of Report

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