



IAPD Report

Joyce Lynn Sullivan

CRD# 3145260

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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

Joyce Lynn Sullivan (CRD# 3145260)

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 **08/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	11/26/2019
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	12/06/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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
B	PNC INVESTMENTS	129052	PITTSBURGH, PA	01/01/2004 - 11/01/2018
IA	PNC INVESTMENTS	129052	PITTSBURGH, PA	01/01/2004 - 11/01/2018
IA	HILLIARD LYONS ASSET MANAGEMENT	453	PITTSBURGH, PA	06/03/2003 - 01/01/2004

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?

No







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

Employment 1 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**
Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301
Firm ID#: 15340

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	12/06/2019
	FINRA	General Securities Sales Supervisor	Approved	12/06/2019
	FINRA	Invest. Co and Variable Contracts	Approved	12/06/2019
	Pennsylvania	Agent	Approved	12/06/2019


Branch Office Locations

CETERA INVESTMENT SERVICES LLC
4220 WILLIAM PENN HIGHWAY
MONROEVILLE, PA 15146

CETERA INVESTMENT SERVICES LLC
APOLLO, PA

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

	Regulator	Registration	Status	Date
	Pennsylvania	Investment Adviser Representative	Approved	11/26/2019

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
4220 WILLIAM PENN HWY



Qualifications

MONROEVILLE, PA 15146

CETERA INVESTMENT ADVISERS LLC
APOLLO, PA



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/29/2010
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/08/2009

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	03/10/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/25/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/25/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/27/1999



PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/01/2004 - 11/01/2018	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
IA	01/01/2004 - 11/01/2018	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
IA	06/03/2003 - 01/01/2004	HILLIARD LYONS ASSET MANAGEMENT	CRD# 453	PITTSBURGH, PA
B	06/01/2002 - 01/01/2004	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY
B	12/13/2001 - 06/01/2002	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA
B	09/13/2000 - 12/13/2001	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	01/26/1999 - 08/01/2000	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA

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
11/2019 - Present	CETERA INVESTMENT ADVISORS LLC	IAR REGISTERED REPRESENTATIVE	Y	MONROEVILLE, PA, United States
11/2019 - Present	CETERA INVESTMENT SERVICES	REGISTERED REPSRESENTATIVE	Y	SAINT CLOUD, MN, United States
11/2019 - Present	FIRST NATIONAL BANK OF PA	REGISTERED REPRESENTATVIE	Y	MONROEVILLE, PA, United States
11/2018 - Present	Independent contractor for FNB	project implementation manager	Y	State College, PA, United States
06/2019 - 11/2019	FIRST NATIONAL BANK OF PA	SALES ASSISTANT	Y	State College, PA, United States
01/2004 - 10/2018	PNC INVESTMENTS	MARKETING ASST.	Y	PITTSBURGH, PA, United States



Registration & Employment History



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) FIRST NATIONAL BANK OF PA, DIRECTOR OF SALES AND SERVICE
- 2) KISKI AREA CROSS COUNTRY BOOSTERS, TREASURER, BANK DEPOSITS AND BILL PAYING, CHECKS REQUIRE DUAL SIGNERS
- 3) FIXED LIFE INSURANCE SALES OUTSIDE OF CETERA



End of Report

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