



## IAPD Report

# SEAN ROBERT SULLIVAN

CRD# 4769711

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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

### SEAN ROBERT SULLIVAN (CRD# 4769711)

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 **01/26/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THRIVEALIKE LLC	CRD# 338918	01/09/2026

### QUALIFICATIONS

This representative is currently registered in **0** 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
IA	LIFEWORCS ADVISORS, LLC	288255	NEWTOWN, CT	07/17/2023 - 01/26/2026
B	ARETE WEALTH MANAGEMENT, LLC	44856	White Plains, NY	07/21/2022 - 07/10/2023
IA	ARETE WEALTH ADVISORS, LLC	145488	White Plains, NY	07/20/2022 - 07/10/2023

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	2
Financial	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **THRIVEALIKE LLC**  
Main Address: MONROE, CT  
Firm ID#: 338918

Regulator	Registration	Status	Date
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	01/09/2026

#### Branch Office Locations

**THRIVEALIKE LLC**  
MONROE, CT



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/09/2012

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/17/2004

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/23/2017
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/2004

### 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
IA	07/17/2023 - 01/26/2026	LIFEWORCS ADVISORS, LLC	CRD# 288255	NEWTOWN, CT
B	07/21/2022 - 07/10/2023	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	White Plains, NY
IA	07/20/2022 - 07/10/2023	ARETE WEALTH ADVISORS, LLC	CRD# 145488	White Plains, NY
IA	09/18/2017 - 07/20/2022	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	NEWTON, CT
B	09/18/2017 - 07/20/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	SOUTH NORWALK, CT
IA	03/30/2017 - 09/16/2017	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	PALM BEACH GARDEN:
B	03/07/2017 - 09/16/2017	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	PALM BEACH GARDEN:
B	05/05/2014 - 10/21/2016	SECURITIES AMERICA, INC.	CRD# 10205	NORWALK, CT
B	11/02/2012 - 05/08/2014	FSC SECURITIES CORPORATION	CRD# 7461	NORWALK, CT
B	12/09/2011 - 06/21/2012	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	NEW YORK, NY
B	11/24/2008 - 12/12/2011	MAXIM GROUP LLC	CRD# 120708	NEW YORK, NY
B	03/18/2004 - 11/24/2008	EASTBROOK CAPITAL GROUP LLC	CRD# 39781	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
10/2025 - Present	Thrivealike LLC	Chief Compliance Officer	Y	Monroe, CT, United States
07/2023 - Present	LIFEWORCS ADVISORS, LLC	Financial Advisor	Y	NEWTOWN, CT, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2022 - 07/2023	ARETE WEALTH MANAGEMENT	FINANCIAL ADVISOR	Y	CHICAGO, IL, United States
09/2017 - 07/2022	NATIONAL SECURITIES CORP	FINANCIAL ADVISOR	Y	NORWALK, CT, United States
03/2017 - 09/2017	Voya Financial Advisors, inc.	Reg FINANCIAL ADVISOR	Y	Fairfield, CT, United States
10/2016 - 03/2017	UNEMPLOYED	UNEMPLOYED	N	Monroe, CT, United States
05/2014 - 10/2016	SECURITIES AMERICA, INC.	FINANCIAL CONSULTANT	Y	NORWALK, CT, United States
07/2012 - 10/2016	DAVENPORT & ASSOCIATES	VICE PRESIDENT	Y	NORWALK, CT, 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.

INSURANCE SALES; INDEPENDENT INSURANCE AGENT; WHITE PLAINS, NY; START DATE 07/2022; 15 HRS/MTH; 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
Customer Dispute	2
Financial	1

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Securities America, Inc.
<b>Allegations:</b>	Claimant alleges that between May 2015 and May 2017, the representative recommended and sold him investments in REITs and a variable annuity that were unsuitable. Additional allegations include misrepresentation, overconcentration in illiquid investments, fraud, negligence, breach of contract, and forgery.
<b>Product Type:</b>	Annuity-Variable Real Estate Security
<b>Alleged Damages:</b>	\$404,500.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/07/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	06/18/2019
<b>Settlement Amount:</b>	



**Individual Contribution**

**Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 19-01634

**Date Notice/Process Served:** 06/18/2019

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/15/2020

**Monetary Compensation Amount:** \$95,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC

**Allegations:** Claimant alleges that between May 2015 and May 2017, the representative recommended and sold him investments in REITs and a variable annuity that were unsuitable. Additional allegations include misrepresentation, overconcentration in illiquid investments, and negligence.

**Product Type:** Real Estate Security

**Alleged Damages:** \$404,500.00

**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:** 04/10/2019

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 06/18/2019

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA



**Docket/Case #:** 19-01634  
**Date Notice/Process Served:** 06/18/2019  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 10/08/2020  
**Monetary Compensation Amount:** \$95,000.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement**

A financial plan was established with this client where only suitable recommendations were made and approved by the client and broker-dealer, in accordance with his investment objectives and in line with his extensive holdings in multiple brokerage accounts. A year after the plan was already implemented the client drastically deviated from that plan. Years later the client and his attorney alleged that the investments I recommended were unsuitable, however it was uncovered that to this day the former client still owns the original investments I recommended and receives income from them, even after he sought out advice over the past three years from two different Financial Advisors. To avoid dragging on costly legal fees due to the COVID-19 pandemic this matter was settled for a significantly lower amount than the baseless original requested amount. The allegations made against me were both baseless and egregious and my personal contribution towards the settlement was judged to be \$0.00. The complaint is now closed with no further action taken.

**Disclosure 2 of 2**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** FIRST REPUBLIC GROUP, LLC  
**Allegations:** UNAUTHORIZED TRADING  
**Product Type:** Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$18,294.00  
**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:** 12/06/2006  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 01/04/2007  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Broker Statement** AFTER ONE OF THE COMPANIES OWNED BY THIS CLIENT REPORTED AN



UNPRECEDENTED DROP IN EARNINGS I ADVISED HIM TO SELL HIS POSITION IN THE COMPANY TO PROTECT FROM FURTHER LOSSES, TO WHICH HE REFUSED. DURING MY LAST ATTEMPT TO SHOW HIM THAT WITH TIME AND WITH HIS OTHER POSITIONS DOING WELL HE COULD MAKE UP FOR THE LOSS, HE INSTRUCTED ME TO SELL ALL OF THE REMAINING POSITIONS IN HIS ACCOUNT AND SEND HIM A CHECK AFTER SETTLEMENT. WEEKS LATER, AFTER REALIZING THAT ALL OF THE OTHER POSITIONS CONTINUED TO MOVE HIGHER, HE SENT A LETTER STATING THAT HE NEVER AUTHORIZED ME TO SELL THEM. AFTER MY COMPLIANCE OFFICER GOT HIM ON THE PHONE AND PLAYED THE RECORDING OF HIM GIVING ME THE ORDER TO SELL ALL OF HIS POSITIONS, THE CLIENT ABRUPTLY HUNG UP AND WAS NEVER HEARD FROM AGAIN. THE COMPLAINT WAS CLOSED WITH NO ACTION TAKEN.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual  
**Action Type:** Bankruptcy  
**Bankruptcy:** Chapter 7  
**Action Date:** 10/19/2022

### Organization Investment-Related?

**Type of Court:** Federal Court  
**Name of Court:** Bankruptcy Court for the District of Connecticut  
**Location of Court:** Bridgeport, Fairfield County  
**Docket/Case #:** 22-50564  
**Action Pending?** No  
**Disposition:** Discharged  
**Disposition Date:** 01/18/2023

### Broker Statement

Due to my divorce and having to dissolve the LLC I owned I was advised that since filing bankruptcy for the LLC leaves the door open to lawsuits that transfer debt liability from a company to the business's individual interest holder (me), it would be safer for me to file personal bankruptcy instead.



## End of Report

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