



IAPD Report

CHRIS M SULLIVAN

CRD# 5484651

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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

CHRIS M SULLIVAN (CRD# 5484651)

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 **03/31/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HYPERION WEALTH MANAGEMENT, LLC	CRD# 277141	10/06/2015

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	SANDLAPPER WEALTH MANAGEMENT, LLC	41534	Maitland, FL	07/05/2017 - 08/22/2017
B	SANDLAPPER SECURITIES, LLC	137906	Winter Park, FL	10/17/2016 - 04/06/2017
IA	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	WINTER PARK, FL	02/18/2011 - 10/29/2015

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
Criminal	1
Termination	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: **HYPERION WEALTH MANAGEMENT, LLC**
Main Address: 225 S SWOOPE AVE
MAITLAND, FL 32751
Firm ID#: 277141

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

HYPERION WEALTH MANAGEMENT, LLC
225 S SWOOPE AVE
MAITLAND, FL 32751



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 3 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination (S4)	Series 4	04/19/2012
General Securities Principal Examination (S24)	Series 24	01/12/2012
NFA Branch Manager Examination (S30)	Series 30	08/11/2011

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	04/06/2017
National Commodity Futures Examination (S3)	Series 3	01/26/2012
Futures Managed Funds Examination (S31)	Series 31	05/23/2008
General Securities Representative Examination (S7)	Series 7	04/17/2008

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	05/16/2008

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	07/05/2017 - 08/22/2017	SANDLAPPER WEALTH MANAGEMENT, LLC	CRD# 41534	Maitland, FL
B	10/17/2016 - 04/06/2017	SANDLAPPER SECURITIES, LLC	CRD# 137906	Winter Park, FL
IA	02/18/2011 - 10/29/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	WINTER PARK, FL
B	02/01/2011 - 10/29/2015	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	WINTER PARK, FL
IA	04/28/2010 - 01/05/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ORLANDO, FL
B	04/16/2010 - 01/05/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ORLANDO, FL
B	06/01/2009 - 04/26/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	WINTER PARK, FL
IA	06/01/2009 - 04/26/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	WINTER PARK, FL
IA	05/20/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WINTER PARK, FL
B	04/18/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WINTER PARK, FL

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
01/2019 - Present	Hyperion Decimus, LLC	Portfolio Manager	Y	Maitland, FL, United States
08/2015 - Present	Hyperion Wealth Management, LLC	Principal / IAR	Y	Winter Park, FL, United States
07/2013 - Present	Hyperion Capital Advisors, LLC	President	Y	Winter Park, FL, United States
06/2013 - 01/2021	Hyperion Capital Partners, LLC	Director of Business Development	Y	Winter Park, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2014 - 12/2020	HighRidge Futures	Branch Manager	Y	Winter Park, FL, United States
09/2016 - 04/2017	SANDLAPPER Securities, LLC	Registered Representative	Y	Greenville, SC, 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)HYPERION WEALTH MANAGEMENT,LLC 225 S Swoope Ave Suite 104 Maitland FL 32751. www.hyperionwm.com INVESTMENT RELATED, MANAGING PARTNER, WEALTH ADVISORY FIRM. Investment related. 25 hours per week.

2)Hyperion Capital Advisors, LLC, the manager of HYPERION HELIOS FUND, 25 S Swoope Ave Suite 104 Maitland FL 32751. PORTFOLIO MANAGER - RAISE ASSETS AND TRADE ON BEHALF OF INVESTORS. 10 hours per week. INVESTMENT RELATED.

3) Name of outside business: Hyperion Decimus, LLC; Is the business investment related: Yes; Location of the business: 125 S Swoope Ave Ste 203 Maitland FL 32751 USA; Position Title: Christopher Sullivan - Portfolio Manager. Responsibilities Duties: Manager of Libertas Fund, LLC and HD Digital Asset Income Fund LP; Start date with business: 2019-01-01; Hours per month devoted to business during trading hours: 60; Hours per month devoted to business outside trading hours: 80;

§)Name of outside business: Libertas Fund, LLC ; Location of the business: 125 S Swoope Ave Ste 203 Maitland FI 32751 USA; Description of the business: Digital Asset Fund ; Position Title: Christopher Sullivan - Portfolio Manager. Start date with business: 2019-01-01; Hours per month devoted to business during trading hours: 30; Hours per month devoted to business outside trading hours: 20; Percentage of total yearly compensation expected to be derived from the business: 10; Will an IRS form for income earned be received: No;



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
Criminal	1
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	11TH JUDICIAL CIRCUIT COURT OF FLORIDA, MIAMI-DADE COUNTY, COURT CASE: B07007405
Charge Date:	01/11/2007
Charge Details:	(1) RESISTING ARREST - FELONY, BUT THEN REDUCED TO MISDEMEANOR PRIOR TO THE HEARING. MY PLEA WAS NOT GUILTY. (2) MISDEMEANOR DISORDERLY CONTACT, TO WHICH I PLED NOT GUILTY. (3) MISDEMEANOR CANNIBUS POSSESSION CHARGE, TO WHICH I PLED NOT GUILTY. (4) MISDEMEANOR CHARGE OF PARAPHERNALIA, WHICH I PLED NOT GUILTY.
Felony?	Yes
Current Status:	Final
Status Date:	08/07/2007
Disposition Details:	DISPOSITION FOR MISDEMEANOR CHARGE FOR RESISTING ARREST, NOLLE PROS (DISMISSED). DISPOSITION FOR DISORDERLY CONTACT CHARGE, NOLLE PROS (DISMISSED). DISPOSITION FOR CANNIBUS POSSESSION CHARGE, NOLLE PROS (DISMISSED). DISPOSITION FOR CHARGE OF PARAPHERNALIA, NOLLE PROS (DISMISSED).
Broker Statement	I WAS WRONGFULLY ARRESTED AND CHARGED, WHILE EXITING A NIGHTCLUB IN MIAMI BEACH, FL. THEREFORE, THE CASE AND ALL CHARGES WERE DISMISSED AS OF AUGUST 7TH OF 2007.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Termination Type: Discharged
Termination Date: 12/10/2010
Allegations: CONDUCT RELATING TO THE MAILING OF A PROSPECTING LETTER THAT HAD NOT BEEN APPROVED BY OFFICE MANAGEMENT.
Product Type: No Product

Reporting Source: Individual
Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC
Termination Type: Discharged
Termination Date: 12/10/2010
Allegations: CONDUCT RELATING TO THE MAILING OF A PROSPECTING LETTER THAT HAD NOT BEEN APPROVED BY OFFICE MANAGEMENT.
Product Type: No Product

Broker Statement BRANCH PERSONNEL WERE AWARE THAT I AND MY PARTNERS WERE SENDING OUT A MARKETING LETTER. THE CONTENT OF THE LETTER WAS REVIEWED BY THE REGIONAL PRODUCT MANAGER. HE WAS AWARE WE WERE SENDING THE LETTER TO POTENTIAL CLIENTS. THIS LETTER WAS UNINTENTIONALLY SENT TO A FEW MERRILL LYNCH CLIENTS OF OTHER BROKERS. THE FIRM FOCUSED ON THE MECHANICS OF SENDING THE LETTER, NOT ITS CONTENT



End of Report

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