IAPD Report

JOHN LAWRENCE SULLIVAN II

CRD# 846327

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

JOHN LAWRENCE SULLIVAN II (CRD# 846327)

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 **10/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/28/2011
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	03/28/2011

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **9** 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	JEFFERIES INVESTMENT ADVISERS, LLC	121767	SAN FRANCISCO, CA	10/19/2007 - 03/29/2011
B	JEFFERIES & COMPANY, INC.	2347	SAN FRANCISCO, CA	09/27/2007 - 03/29/2011
B	CREDIT SUISSE SECURITIES (USA) LLC	816	SAN FRANCISCO, CA	01/17/2003 - 11/07/2007

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
Customer Dispute	1

User Guidance

www.adviserinfo.sec.gov

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

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/28/2011
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/28/2011
B	FINRA	General Securities Representative	Approved	03/28/2011
B	FINRA	General Securities Sales Supervisor	Approved	03/28/2011
B	NYSE American LLC	General Securities Representative	Approved	03/28/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/28/2011
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	03/28/2011
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/28/2011

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/28/2011
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/28/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	03/28/2011
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/28/2011
B	New York Stock Exchange	General Securities Representative	Approved	03/28/2011
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	03/28/2011
B	California	Agent	Approved	03/28/2011
IA	California	Investment Adviser Representative	Approved	03/28/2011
B	Colorado	Agent	Approved	06/27/2023
B	Delaware	Agent	Approved	05/17/2013
B	Florida	Agent	Approved	10/06/2016
B	Hawaii	Agent	Approved	10/07/2025
B	New Jersey	Agent	Approved	03/28/2011
B	New York	Agent	Approved	03/28/2011
B	Pennsylvania	Agent	Approved	03/28/2011

Branch Office Locations

UBS FINANCIAL SERVICES INC.
555 CALIFORNIA STREET

Qualifications

32ND FLOOR/ SUITE 3200
SAN FRANCISCO, CA 94104

UBS FINANCIAL SERVICES INC.
Atherton, CA

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, 2 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	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/27/1999

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	11/19/1977

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/14/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/1979

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	10/19/2007 - 03/29/2011	JEFFERIES INVESTMENT ADVISERS, LLC	CRD# 121767	SAN FRANCISCO, CA
B	09/27/2007 - 03/29/2011	JEFFERIES & COMPANY, INC.	CRD# 2347	SAN FRANCISCO, CA
B	01/17/2003 - 11/07/2007	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	SAN FRANCISCO, CA
IA	01/17/2003 - 11/07/2007	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	SAN FRANCISCO, CA
IA	07/18/2002 - 01/17/2003	DONALDSON LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	SAN FRANCISCO, CA
B	03/05/1999 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	08/18/1998 - 03/19/1999	WARBURG DILLON READ LLC	CRD# 7654	NEW YORK, NY
B	11/26/1996 - 08/13/1998	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	08/07/1990 - 11/21/1996	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	08/27/1979 - 08/29/1990	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/04/1979 - 06/27/1984	LEHMAN BROTHERS KUHN LOEB INCORPORATED	CRD# 7555	
B	09/26/1978 - 10/09/1979	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	12/05/1977 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
03/2011 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, 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.

No information reported.

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
Customer Dispute	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:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/17/1997
Docket/Case Number:	CEN-1169
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/17/1997
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	ON MARCH 17, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST JOHN LAWRENCE SULLIVAN II. RESPONDENT FAILED TO REPORT A BANKRUPTCY ON HIS U-4 FORM.

	PURSUANT TO SECTION 14.A(6) OF THE SECURITIES ACT AN ORDER OF REPRIMAND IS ISSUED.
Regulator Statement	CONTACT: JOYCE MILLER (512) 305-8390

Reporting Source:	Individual
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/17/1997
Docket/Case Number:	CEN-1169
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE A BANKRUPTCY FILING IN A TIMELY MANNER AS DIRECTED ON FORM U-4 WHILE REGISTERED AS AN AGENT OF BEAR STEARNS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/17/1997
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER PURSUANT TO 14.A(6) OF THE SECURITIES ACT. TEXAS REGISTRATION WAS GRANTED AND AN ORDER OF REPRIMAND WAS ISSUED.
Broker Statement	Not Provided

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON, LEHMAN BROS.
Allegations:	FAILURE TO DISCLOSE RISK. ALLEGED DAMAGES - COMPENSATORY - $300,000.000.
Product Type:	
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	Pacific Stock Exchange; ARF-02192
Date Notice/Process Served:	02/09/1992
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/01/1993
Monetary Compensation Amount:	$119,500.00
Individual Contribution Amount:	$0.00
Firm Statement	SHEARSON SETTLED THIS MATTER FOR $119,500.00. MR. SULLIVAN WAS DISMISSED FROM THIS CLAIM. HE DID NOT AND WAS NOT ASKED TO CONTRIBUTE TOWARDS THE SETTLEMENT OF THIS MATTER. OPTIONS AND COMMODITIES NOT INVOLVED. FOR FURTHER INFORMATION CONTACT [THIRD PARTY] (212) 464-7200.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	SHEARSON, LEHMAN BROS.
Allegations:	UNSUITABILITY & FAILURE TO DISCLOSE RISK OF HIGH YIELD BONDS
Product Type:	
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	PACIFIC STOCK EXCHANGE; ARF-02192
Date Notice/Process Served:	02/09/1992
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/01/1993
Monetary Compensation Amount:	$119,500.00
Individual Contribution Amount:	$0.00
Broker Statement	I WAS FOUND TO BE BLAMELESS. I WAS DISMISSED FROM THE COMPLAINT PRIOR TO SETTLEMENT. LEHMAN BROTHERS SUBSEQUENTLY SETTLED FOR $119,500.00. I DID NOT CONTRIBUTE TO THE SETTLEMENT. THE CUSTOMER COMPLAINT ESSENTIALLY WAS NOTHING MORE THAN A DISGRUNTLED INVESTOR ATTEMPTING TO RECOUP LOSSES AS A RESULT OF A DECLING IN THE HIGH YIELD MARKET THE CLIENT WAS ADVISED TO SELL BEFORE THE BONDS DECLINED BUT HE FOUND THE YIELDS TOO ATTRACTIVE TO GIVE UP.

End of Report

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