

# **Sullivan Retirement Resources, LLC**

Supplemental Brochure

Daniel Sullivan

Form ADV Part 2B

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[www.SullivanRetirement.com](http://www.SullivanRetirement.com)

This brochure supplement provides information about Dan Sullivan that supplements the Sullivan Retirement Resources, LLC brochure. You should have received a copy of that brochure. Please contact Mr. Sullivan, the President and Chief Compliance Officer, at (774) 847-9949, if you did not receive the Sullivan Retirement Resources, LLC brochure. The information in this Brochure supplement has not been approved or verified by the United States Securities and Exchange Commission or by any state securities regulatory agency.

Dan Sullivan is an investment advisor representative for Sullivan Retirement Resources, LLC. Registration of an investment advisor representative does not imply any level of skill or training.

Additional information about Mr. Sullivan is available on the SEC's website: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may also search this site by using a unique identifying number known as a CRD number. Mr. Sullivan's CRD number is #1274817.

**Date**

**January 27, 2019**

## **ITEM 2. EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Executive Officer/Investment Advisor Representative

### **Daniel Sullivan**

Year of Birth: 1960

Educational Background: Clark University; BA Economics; 1983

Business Background:

Sullivan Retirement Resources, LLC Investment Advisor Representative	03/2018 - Present
The Investment Center, Inc Registered Representative	06/2012 – 03/2018
IC Advisory Services, Inc. Registered Representative	10/2012 – 03/2018
Signator Investment, Inc. Registered Representative	01/2007 – 06/2012
IFMG Securities Inc. Financial Consultant	02/2005 – 01/2007

## **ITEM 3. DISCIPLINARY HISTORY**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would-be material to your evaluation of each supervised person providing investment advice.

A criminal or civil action in a domestic, foreign or military court of competent jurisdiction. *Nothing to report.*

An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority. *Nothing to report.*

A self-regulatory organization proceeding. *Nothing to report.*

## **ITEM 4. OTHER BUSINESS ACTIVITIES**

Dan Sullivan, in his individual capacity is a licensed insurance agent. Mr. Sullivan may, from time to time, recommend certain insurance and/or annuity products on a commission basis to Sullivan Retirement Resources, LLC (“SRR”) clients. Mr. Sullivan spends approximately 50% of his time on this activity. Any sales commissions generated by the

sale of insurance products by Mr. Sullivan are paid to directly and are separate and distinct from the investment advisory fees. Any recommendation by Mr. Sullivan for the sale of these products to SRR clients creates a conflict of interest. There is a financial incentive for Mr. Sullivan to recommend their purchase to SRR clients. However, Mr. Sullivan attempts to mitigate any conflicts of interest to the best of his ability by placing the interests of his clients ahead of his own interests and through the implementation of certain policies and procedures that directly address such conflicts. SRR clients are not obligated to purchase any insurance or annuity products recommended by Mr. Sullivan. Clients are always free to purchase the same, or substantially similar, products from another insurance agent or agency. Each SRR client is made aware that the products recommended by Mr. Sullivan in his capacity as an insurance agent may be available from other sources and may be available at a lower cost.

Mr. Sullivan is also involved in the following other non-investment related business activities; College Funding Alternatives, College Planning, College and Financial Planning Consultant. These activities comprise approximately 30% of his time.

#### **ITEM 5.- ADDITIONAL COMPENSATION**

Mr. Sullivan does not receive any additional compensation other than as described in the above Item 4.

#### **ITEM 6. – SUPERVISION**

Dan Sullivan is the President and Chief Compliance Officer of Sullivan Retirement Resources, LLC. Mr. Sullivan may be reached at (774) 847-9949. While Mr. Sullivan is bound by the Code of Ethics and other policies and procedures, he does not have any internal supervision. Both Sullivan Retirement Resources, LLC, and Mr. Sullivan, are subject to regulatory oversight by the State of Massachusetts.

#### **ITEM 7. – REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

##### **A. Arbitration or Civil, Self-Regulatory Organization or Administrative Proceedings**

Mr. Sullivan has not been the subject of any arbitration, civil, self-regulatory organization or administrative finding.

##### **B. Bankruptcy History**

Mr. Sullivan has filed a bankruptcy petition. The bankruptcy was discharged in 1993.