BrokerCheck Report

Sean Paul Sullivan

CRD# 7097419

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Sean P. Sullivan

CRD# 7097419

Currently employed by and registered with the following Firm(s):

IA **WILLOW WEALTH**
245 FIFTH AVENUE
21ST FLOOR
NEW YORK, NY 10016
CRD# 282487
Registered with this firm since: 01/17/2023

B **WILLOW WEALTH MARKETS LLC**
245 Fifth Avenue
21st Floor
New York, NY 10016
CRD# 172295
Registered with this firm since: 01/14/2025

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 53 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
12/2021 - 12/2022

B **LPL FINANCIAL LLC**
CRD# 6413
WESTHAMPTON BEACH, NY
12/2021 - 12/2022

IA **RBC CAPITAL MARKETS, LLC**
CRD# 31194
NEW YORK, NY
01/2020 - 12/2021

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

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Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **WILLOW WEALTH**

Main Office Address: **245 FIFTH AVENUE**
21ST FLOOR
NEW YORK, NY 10016

Firm CRD#: **282487**

	U.S. State/ Territory	Category	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	01/19/2024
IA	Alaska	Investment Adviser Representative	Approved	02/08/2024
IA	Arizona	Investment Adviser Representative	Approved	12/19/2023
IA	Arkansas	Investment Adviser Representative	Approved	02/01/2024
IA	California	Investment Adviser Representative	Approved	06/14/2023
IA	Colorado	Investment Adviser Representative	Approved	06/14/2023
IA	Connecticut	Investment Adviser Representative	Approved	01/22/2024
IA	Delaware	Investment Adviser Representative	Approved	02/01/2024
IA	District of Columbia	Investment Adviser Representative	Approved	10/23/2024
IA	Florida	Investment Adviser Representative	Approved	01/23/2024
IA	Georgia	Investment Adviser Representative	Approved	01/25/2024
IA	Hawaii	Investment Adviser Representative	Approved	04/08/2024
IA	Idaho	Investment Adviser Representative	Approved	01/22/2024
IA	Illinois	Investment Adviser Representative	Approved	06/20/2023

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Iowa	Investment Adviser Representative	Approved	01/22/2024
IA	Kansas	Investment Adviser Representative	Approved	01/19/2024
IA	Kentucky	Investment Adviser Representative	Approved	01/24/2024
IA	Louisiana	Investment Adviser Representative	Approved	01/22/2024
IA	Maine	Investment Adviser Representative	Approved	05/31/2024
IA	Maryland	Investment Adviser Representative	Approved	06/16/2023
IA	Massachusetts	Investment Adviser Representative	Approved	03/05/2024
IA	Michigan	Investment Adviser Representative	Approved	01/23/2024
IA	Minnesota	Investment Adviser Representative	Approved	01/19/2024
IA	Mississippi	Investment Adviser Representative	Approved	01/23/2024
IA	Missouri	Investment Adviser Representative	Approved	01/23/2024
IA	Montana	Investment Adviser Representative	Approved	01/22/2024
IA	Nebraska	Investment Adviser Representative	Approved	01/19/2024
IA	Nevada	Investment Adviser Representative	Approved	06/20/2023
IA	New Hampshire	Investment Adviser Representative	Approved	01/29/2024
IA	New Jersey	Investment Adviser Representative	Approved	06/21/2023
IA	New Mexico	Investment Adviser Representative	Approved	01/23/2024
IA	New York	Investment Adviser Representative	Approved	01/17/2023
IA	North Carolina	Investment Adviser Representative	Approved	06/15/2023
IA	North Dakota	Investment Adviser Representative	Approved	01/24/2024
IA	Ohio	Investment Adviser Representative	Approved	01/19/2024

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Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Oklahoma	Investment Adviser Representative	Approved	01/23/2024
IA	Oregon	Investment Adviser Representative	Approved	01/19/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	01/22/2024
IA	Puerto Rico	Investment Adviser Representative	Approved	01/30/2024
IA	Rhode Island	Investment Adviser Representative	Approved	01/22/2024
IA	South Carolina	Investment Adviser Representative	Approved	01/22/2024
IA	South Dakota	Investment Adviser Representative	Approved	01/22/2024
IA	Texas	Investment Adviser Representative	Approved	06/14/2023
IA	Utah	Investment Adviser Representative	Approved	01/19/2024
IA	Vermont	Investment Adviser Representative	Approved	01/19/2024
IA	Virgin Islands	Investment Adviser Representative	Approved	01/25/2024
IA	Virginia	Investment Adviser Representative	Approved	01/19/2024
IA	Washington	Investment Adviser Representative	Approved	01/19/2024
IA	West Virginia	Investment Adviser Representative	Approved	01/26/2024
IA	Wisconsin	Investment Adviser Representative	Approved	01/22/2024
IA	Wyoming	Investment Adviser Representative	Approved	01/29/2024

Branch Office Locations

245 FIFTH AVENUE
21ST FLOOR
NEW YORK, NY 10016

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Broker Qualifications

Employment 2 of 2

Firm Name: **WILLOW WEALTH MARKETS LLC**

Main Office Address: **245 FIFTH AVENUE**
21ST FLOOR
NEW YORK, NY 10016

Firm CRD#: **172295**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/14/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/05/2025
B	Alaska	Agent	Approved	08/07/2025
B	Arizona	Agent	Approved	08/06/2025
B	Arkansas	Agent	Approved	08/15/2025
B	California	Agent	Approved	08/06/2025
B	Connecticut	Agent	Approved	08/07/2025
B	Delaware	Agent	Approved	08/06/2025
B	District of Columbia	Agent	Approved	08/18/2025
B	Florida	Agent	Approved	06/09/2025
B	Georgia	Agent	Approved	08/06/2025
B	Hawaii	Agent	Approved	08/06/2025
B	Idaho	Agent	Approved	06/11/2025
B	Illinois	Agent	Approved	06/09/2025
B	Indiana	Agent	Approved	08/07/2025
B	Iowa	Agent	Approved	08/05/2025
B	Kansas	Agent	Approved	08/05/2025

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	06/09/2025
B	Louisiana	Agent	Approved	08/06/2025
B	Maine	Agent	Approved	08/05/2025
B	Maryland	Agent	Approved	08/08/2025
B	Massachusetts	Agent	Approved	08/06/2025
B	Michigan	Agent	Approved	06/09/2025
B	Minnesota	Agent	Approved	06/09/2025
B	Mississippi	Agent	Approved	06/09/2025
B	Missouri	Agent	Approved	08/05/2025
B	Montana	Agent	Approved	06/09/2025
B	Nebraska	Agent	Approved	06/09/2025
B	Nevada	Agent	Approved	08/06/2025
B	New Hampshire	Agent	Approved	08/11/2025
B	New Jersey	Agent	Approved	06/09/2025
B	New Mexico	Agent	Approved	08/06/2025
B	New York	Agent	Approved	08/05/2025
B	North Carolina	Agent	Approved	08/06/2025
B	North Dakota	Agent	Approved	08/06/2025
B	Ohio	Agent	Approved	08/05/2025
B	Oklahoma	Agent	Approved	06/09/2025
B	Pennsylvania	Agent	Approved	08/06/2025

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Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	06/18/2025
B	Rhode Island	Agent	Approved	08/06/2025
B	South Carolina	Agent	Approved	06/09/2025
B	South Dakota	Agent	Approved	06/09/2025
B	Tennessee	Agent	Approved	08/06/2025
B	Texas	Agent	Approved	06/09/2025
B	Utah	Agent	Approved	08/06/2025
B	Vermont	Agent	Approved	08/05/2025
B	Virgin Islands	Agent	Approved	08/06/2025
B	Virginia	Agent	Approved	08/06/2025
B	Washington	Agent	Approved	08/05/2025
B	West Virginia	Agent	Approved	08/11/2025
B	Wisconsin	Agent	Approved	08/06/2025
B	Wyoming	Agent	Approved	08/06/2025

Branch Office Locations

WILLOW WEALTH MARKETS LLC
245 FIFTH AVENUE
21ST FLOOR
NEW YORK, NY 10016

WILLOW WEALTH MARKETS LLC
245 Fifth Avenue
21st Floor
New York, NY 10016

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7TO	10/08/2019
B	Securities Industry Essentials Examination	SIE	07/09/2019

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	08/05/2025
B IA	Uniform Combined State Law Examination	Series 66	01/16/2020

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

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Broker Qualifications

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.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2021 - 12/2022	LPL FINANCIAL LLC	6413	WESTHAMPTON BEACH, NY
IA 12/2021 - 12/2022	LPL FINANCIAL LLC	6413	WESTHAMPTON BEACH, NY
IA 01/2020 - 12/2021	RBC CAPITAL MARKETS, LLC	31194	HAMPTON BAYS, NY
B 10/2019 - 12/2021	RBC CAPITAL MARKETS, LLC	31194	HAMPTON BAYS, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
12/2022 - Present	Yieldstreet	Associate	Y	New York, NY, United States
12/2021 - 12/2022	LPL Financial LLC	Registered Representative	Y	Westhampton, NY, United States
12/2021 - 12/2022	Point 32 Investment Partners	Wealth Manager	Y	Westhampton Beach, NY, United States
04/2019 - 12/2021	Royal Bank of Canada	Registered Associate	Y	Hampton Bays, NY, United States
11/2018 - 03/2019	Wow Payments	Sales Development Rep	N	New York, NY, United States
07/2013 - 11/2018	The Bridgehampton Club	Lifeguard	N	Bridgehampton, NY, United States
09/2009 - 06/2018	Student	Student	N	Hampton Bays, NY, United States

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Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Yieldstreet Management LLC (CRD 282487) - Is an affiliated Registered Investment Adviser of RealCadre LLC

The business is investment-related

Address
300 Park Avenue, Floor 15
New York, NY 10022

Nature of Business: Yieldstreet offers discretionary and non-discretionary investment advisory services to certain retail investors and other clients. Our discretionary investment advisory services are managed investment portfolios offered online through our proprietary automated advisory service. Yieldstreet also provides two non-discretionary investment advisory programs: Digital Advice, a proprietary automated non-discretionary advisory service offered online, and Non-Digital Advice, through which clients have access to one of the firm's representatives.

Title: Associate, Private Client Group
Start Date: 12/2022
Hours Month: Full-time, until all the FINRA licenses are secured and the firm transitions to a Broker-Dealer model from an Investment Advisor model
Description of Duties: Currently serving as an IAR for the affiliated Investment Advisor Yieldstreet Management.

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End of Report

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