IAPD Report

RICHARD MICHAEL LAMONICA JR

CRD# 4140931

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.

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

RICHARD MICHAEL LAMONICA JR (CRD# 4140931)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	CRD# 28262	02/15/2013
IA	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	CRD# 105790	11/08/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	MANULIFE ASSET MANAGEMENT (US) LLC	106435	BOSTON, MA	04/01/2013 - 11/08/2018
B	LINCOLN FINANCIAL DISTRIBUTORS, INC.	145	RADNOR, PA	05/16/2012 - 02/04/2013
IA	MANULIFE ASSET MANAGEMENT (US) LLC	106435	BOSTON, MA	11/24/2009 - 12/12/2011

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

Employment 1 of 2

Firm Name: **JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC**

Main Address: 200 BERKELEY STREET
BOSTON, MA 02116

Firm ID#: 28262

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/15/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	02/15/2013
B	Alabama	Agent	Approved	06/30/2025
B	Alaska	Agent	Approved	01/06/2026
B	Arizona	Agent	Approved	01/02/2026
B	Arkansas	Agent	Approved	01/22/2026
B	California	Agent	Approved	01/02/2026
B	Colorado	Agent	Approved	01/06/2026
B	Connecticut	Agent	Approved	09/24/2025
B	Delaware	Agent	Approved	09/24/2025
B	District of Columbia	Agent	Approved	01/08/2026
B	Florida	Agent	Approved	07/02/2025
B	Georgia	Agent	Approved	07/01/2025

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	04/24/2026
B	Idaho	Agent	Approved	01/02/2026
B	Illinois	Agent	Approved	10/04/2023
B	Indiana	Agent	Approved	08/28/2023
B	Iowa	Agent	Approved	08/04/2023
B	Kansas	Agent	Approved	01/07/2025
B	Kentucky	Agent	Approved	08/04/2023
B	Louisiana	Agent	Approved	01/05/2026
B	Maine	Agent	Approved	09/23/2025
B	Maryland	Agent	Approved	09/24/2025
B	Massachusetts	Agent	Approved	03/06/2013
B	Michigan	Agent	Approved	08/03/2023
B	Minnesota	Agent	Approved	08/01/2023
B	Mississippi	Agent	Approved	01/09/2026
B	Missouri	Agent	Approved	01/07/2025
B	Montana	Agent	Approved	01/02/2026
B	Nebraska	Agent	Approved	01/07/2025
B	Nevada	Agent	Approved	01/05/2026
B	New Hampshire	Agent	Approved	09/24/2025

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	09/24/2025
B	New Mexico	Agent	Approved	01/05/2026
B	New York	Agent	Approved	01/02/2026
B	North Carolina	Agent	Approved	07/07/2025
B	North Dakota	Agent	Approved	08/07/2023
B	Ohio	Agent	Approved	11/20/2017
B	Oklahoma	Agent	Approved	01/05/2026
B	Oregon	Agent	Approved	01/12/2026
B	Pennsylvania	Agent	Approved	09/24/2025
B	Puerto Rico	Agent	Approved	07/22/2025
B	Rhode Island	Agent	Approved	09/29/2025
B	South Carolina	Agent	Approved	06/30/2025
B	South Dakota	Agent	Approved	08/01/2023
B	Tennessee	Agent	Approved	07/03/2025
B	Texas	Agent	Approved	01/05/2026
B	Utah	Agent	Approved	01/06/2026
B	Vermont	Agent	Approved	09/24/2025
B	Virgin Islands	Agent	Approved	01/05/2026
B	Virginia	Agent	Approved	06/30/2025

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	01/02/2026
B	West Virginia	Agent	Approved	01/09/2025
B	Wisconsin	Agent	Approved	08/03/2023
B	Wyoming	Agent	Approved	01/02/2026

Branch Office Locations

Medway, MA

Employment 2 of 2

Firm Name: **JOHN HANCOCK INVESTMENT MANAGEMENT LLC**

Main Address: 200 BERKELEY ST.
BOSTON, MA 02116-5022

Firm ID#: 105790

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	11/08/2018

Branch Office Locations

JOHN HANCOCK INVESTMENT MANAGEMENT LLC
Medway, MA

JOHN HANCOCK INVESTMENT MANAGEMENT LLC
200 BERKELEY ST.
BOSTON, MA 02116-5022

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 0 principal/supervisory exams, 3 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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/17/2003
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/18/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/15/2001

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	04/01/2013 - 11/08/2018	MANULIFE ASSET MANAGEMENT (US) LLC	CRD# 106435	BOSTON, MA
B	05/16/2012 - 02/04/2013	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
IA	11/24/2009 - 12/12/2011	MANULIFE ASSET MANAGEMENT (US) LLC	CRD# 106435	BOSTON, MA
B	06/13/2011 - 12/02/2011	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	BOSTON, MA
B	11/23/2009 - 11/30/2011	JOHN HANCOCK FUNDS, LLC	CRD# 28262	BOSTON, MA
IA	12/18/2008 - 12/31/2010	JOHN HANCOCK ADVISERS, LLC	CRD# 105790	BOSTON, MA
B	08/31/2004 - 11/24/2009	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	BOSTON, MA
IA	08/31/2004 - 12/31/2006	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	BOSTON, MA
IA	09/11/2003 - 07/26/2004	JOHN HANCOCK ADVISERS, LLC	CRD# 105790	BOSTON, MA
IA	09/11/2003 - 07/26/2004	SOVEREIGN ASSET MANAGEMENT CORPORATION	CRD# 106435	BOSTON, MA
B	04/03/2003 - 07/26/2004	JOHN HANCOCK FUNDS, LLC	CRD# 28262	BOSTON, MA
B	08/21/2000 - 10/23/2001	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA

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
11/2018 - Present	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	Investment Advisor	Y	BOSTON, MA, United States
02/2013 - Present	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, United States

Registration & Employment History

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.

1.)
a.OBA Name: Holliston High School
b.Investment-related? No
c.OBA Address: 370 Hollis St., Holliston, MA 01746
d.OBA Nature: Coaching
e.Position, Title, or Relationship with the OBA: Swim & Dive Coach
f.OBA Start Date: 12/01/2025
g.Approximate number of hours/months devoted to the OBA: 21
h.Number of hours devoted to the OBA during securities trading hours: 0
i.Brief description duties related to the OBA: Co-Head coach for boys & girls swim & dive teams.

2.)
a.OBA Name: Massachusetts Track & Field Officials Association
b.Investment-related? No
c.OBA Address: 78 Duff St., Watertown, MA, 02053
d.OBA Nature: Official/Referee - at a High School & College Track & Field
e.Position, Title, or Relationship with the OBA: Contractor
f.OBA Start Date: 11/14/2025
g.Approximate number of hours/months devoted to the OBA: 12
h.Number of hours devoted to the OBA during securities trading hours: 0
i.Brief description duties related to the OBA: Officiate track and field events, ensure the events are moving along, time & measurements are correctly reported, enforce rules, and report results of events. Per meet, most meets are $140 fee, larger meets are paid more.

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*.
  - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - o 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*.
  - o 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.
  - o 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.
  - o 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
Termination	1

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:	LINCOLN FINANCIAL DISTRIBUTORS, INC.
Termination Type:	Discharged
Termination Date:	01/24/2013
Allegations:	FIRM TERMINATED WHOLESALER AFTER INTERNAL INVESTIGATION & INTERVIEW WITH WHOLESALER CONCERNING QUESTIONABLE REPORTING OF SALES ACTIVITIES ON THE FIRM'S TRACKING SYSTEM.
Product Type:	Annuity-Variable

Reporting Source:	Individual
Firm Name:	LINCOLN FINANCIAL GROUP
Termination Type:	Discharged
Termination Date:	01/24/2013
Allegations:	FIRM TERMINATED WHOLESALER AFTER INTERNAL INVESTIGATION & INTERVIEW WITH WHOLESALER CONCERNING QUESTIONABLE REPORTING OF SALES ACTIVITIES ON THE FIRM'S TRACKING SYSTEM.
Product Type:	No Product
Broker Statement	WHILE I WAS EMPLOYED WITH LINCOLN FINANCIAL GROUP I WAS PLACED ON A DOCUMENTED PERFORMANCE REVIEW. I WAS NOTIFIED ON JANUARY 6, 2013 THAT BECAUSE MY SALES AND ACTIVITY LEVELS WERE TOO LOW THAT I WOULD NEED TO IMPROVE THEM WITHIN 60 DAYS TO AVOID FURTHER DISCIPLINARY ACTION. I RECEIVED AND ACKNOWLEDGED THE PERFORMANCE IMPROVEMENT PLAN ON JANUARY 15, 2013. A FEW DAYS LATER ON JANUARY 18, 2013 I RECEIVED A CALL

FROM MY MANAGER MICHAEL FOX. MICHAEL HAD CALLED ME BECAUSE HE WAS VERY CONCERNED ABOUT MY LEVEL OF ACTIVITY IN MY TERRITORY. DURING THE CONVERSATION MICHAEL HAD POINTED OUT THAT HE HAD REVIEWED MY CALENDAR AND HIS CONCERN WAS THAT THE NUMBER OF APPOINTMENTS ON THE CALENDAR DID NOT MATCH THE NUMBER OF APPOINTMENTS I HAD ENTERED INTO SALESFORCE, THE CLIENT RELATIONSHIP MANAGEMENT SYSTEM. MICHAEL WENT THROUGH EACH WEEK BEGINNING FROM MY START DATE IN MAY 2012 AND COUNTED THE NUMBER OF MEETINGS I HAD ENTERED IN THE CALENDAR WEEK BY WEEK. MICHAEL CONTINUOUSLY EXPLAINED THAT THE SHORTAGE OF MEETINGS WAS A SERIOUS ISSUE BECAUSE I HAD BEEN PLACED ON A PERFORMANCE REVIEW FOR MY SALES AND ACTIVITY LEVELS A FEW DAYS PRIOR TO THIS CONVERSATION. I TRIED TO EXPLAIN TO MICHAEL SEVERAL TIMES THAT I WAS NOT KEEPING MY CALENDAR UP TO DATE WITH THE MEETINGS I WAS HAVING BECAUSE IT WAS NEVER EXPLAINED TO ME THAT THAT WAS THE PROCESS OF TRACKING MY APPOINTMENTS. ADDITIONALLY, I EXPLAINED TO MICHAEL THAT I NEVER RECEIVED TRAINING ON HOW TO EXACTLY ENTER MEETINGS INTO SALESFORCE. DURING MY WHOLESALING CAREER I HAVE NEVER USED THE SYSTEM AND HAD TO FIGURE IT OUT MYSELF. MY ACTIVITY NUMBERS HAD MATCHED THE MEETINGS I WAS HAVING SO TO THIS POINT I HAD DID NOT HAVE ANY INDICATION THAT I WAS ENTERING MY MEETINGS INCORRECTLY ONLY THAT MICHAEL HAD AN ISSUE WITH THE NUMBER OF MEETINGS I WAS HAVING. MICHAEL'S RESPONSE TO THIS WAS THAT I SHOULD HAVE KNOWN WHAT WAS EXPECTED OF ME AND THAT HE WOULD NEED TO NOTIFY HUMAN RESOURCES TO REVIEW THE SITUATION. ON THURSDAY JANUARY 24, 2013 I RECEIVED ANOTHER PHONE CALL FROM MICHAEL AND A REPRESENTATIVE FROM LINCOLN'S HUMAN RECOURSES DEPARTMENT LEON BARNES. DURING THIS CALL I WAS NOTIFIED THAT I WAS BEING TERMINATED BECAUSE THE ISSUES DESCRIBED ABOVE. AT THIS POINT I CHOSE NOT TO CONTEST WHAT THEY WERE SAYING BECAUSE IT WAS CLEAR TO ME THAT I WAS NOT LONGER WANTED AT LINCOLN. I WAS NEVER NOTIFIED IN WRITING WHAT THE EXACT REASON FOR MY TERMINATION WAS. I WAS MADE AWARE OF THE SERIOUSNESS OF THE SITUATION ON FEBRUARY 6, 2013 WHEN I RECEIVED A CALL FROM MY MANAGERS AT JOHN HANCOCK EXPLAINING THAT LINCOLN HAD NOTED MY FINRA RECORD. I'VE REACHED OUT TO LEON BARNES AT LINCOLN REGARDING THE CIRCUMSTANCES AROUND MY TERMINATION. HE NOTIFIED ME THAT I WOULD NOT RECEIVE ANYTHING IN WRITING AND THAT HE WOULD NEED TO DISCUSS THE SITUATION WITH LINCOLN'S COMPLIANCE DEPARTMENT. I HAVE YET TO RECEIVE A RESPONSE FROM HIM.

I DO FEEL THAT MY TERMINATION WAS UNWARRANTED. I STARTED WITH THEM BACK IN MAY 2012 AND WAS NEVER GIVEN THE OPPORTUNITY OR TRAINING NECESSARY TO SUCCEED IN MY TERRITORY. MY DIVISIONAL MANAGER WAS VERY CLEAR THAT HE DISAGREED AND THAT HE NO LONGER WANTED ME THERE AS AN EMPLOYEE. IN MY ALMOST 12 YEARS IN THE INDUSTRY I HAVE NEVER ONCE HAD ISSUES REGARDING MY PERFORMANCE. I'VE ALWAYS BEEN RESPONSIBLE FOR SHOWING MY WORK THROUGH ACTIVITIES THAT I INPUT ON MY OWN AND HAVE ALWAYS DONE SO HONESTLY. TO HEAR THIS FROM MY EMPLOYER WAS SHOCKING TO ME AND I HAD PLANNED ON GIVING MY NOTICE BEFORE I WAS TERMINATED. AS OF FEBRUARY 12, 2013 I HAVE BEEN IN TOUCH WITH AN ATTORNEY TO SEE WHAT STEPS ARE NECESSARY TO REMOVE THIS FROM MY FINRA RECORD.

End of Report

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