



IAPD Report

BRANDON MICHAEL SEXTON

CRD# 4452984

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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.



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

BRANDON MICHAEL SEXTON (CRD# 4452984)

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 **12/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	CRD# 28262	06/08/2007
B	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	12/14/2011
IA	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	CRD# 105790	11/08/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	12/21/2012 - 11/08/2018
IA	JOHN HANCOCK ADVISERS, LLC	105790	BOSTON, MA	07/13/2007 - 12/31/2010
IA	PIONEER INSTITUTIONAL ASSET MANAGEMENT, INC.	138756	BOSTON, MA	04/20/2006 - 06/04/2007

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



Report Summary



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

Employment 1 of 3

Firm Name: **JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC**
Main Address: 200 BERKELEY STREET
BOSTON, MA 02116
Firm ID#: 28262

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	06/08/2007
 Alabama	Agent	Approved	06/20/2025
 Alaska	Agent	Approved	06/27/2025
 Arizona	Agent	Approved	06/20/2025
 Arkansas	Agent	Approved	06/30/2025
 California	Agent	Approved	06/20/2025
 Colorado	Agent	Approved	06/23/2025
 Connecticut	Agent	Approved	06/20/2025
 Delaware	Agent	Approved	06/23/2025
 District of Columbia	Agent	Approved	06/20/2025
 Florida	Agent	Approved	08/02/2022
 Georgia	Agent	Approved	06/23/2025
 Hawaii	Agent	Approved	06/23/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	06/23/2025
B Illinois	Agent	Approved	06/27/2025
B Indiana	Agent	Approved	07/02/2025
B Iowa	Agent	Approved	07/17/2025
B Kansas	Agent	Approved	06/20/2025
B Kentucky	Agent	Approved	06/24/2025
B Louisiana	Agent	Approved	06/20/2025
B Maine	Agent	Approved	06/23/2025
B Maryland	Agent	Approved	06/26/2025
B Massachusetts	Agent	Approved	06/08/2007
B Michigan	Agent	Approved	06/24/2025
B Minnesota	Agent	Approved	06/20/2025
B Mississippi	Agent	Approved	06/26/2025
B Missouri	Agent	Approved	06/23/2025
B Montana	Agent	Approved	07/09/2025
B Nebraska	Agent	Approved	06/20/2025
B Nevada	Agent	Approved	06/20/2025
B New Hampshire	Agent	Approved	06/23/2025
B New Jersey	Agent	Approved	06/23/2025



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	06/23/2025
B New York	Agent	Approved	06/28/2025
B North Carolina	Agent	Approved	06/24/2025
B North Dakota	Agent	Approved	06/23/2025
B Ohio	Agent	Approved	06/20/2025
B Oklahoma	Agent	Approved	06/20/2025
B Oregon	Agent	Approved	06/24/2025
B Pennsylvania	Agent	Approved	06/20/2025
B Rhode Island	Agent	Approved	06/23/2025
B South Carolina	Agent	Approved	06/23/2025
B South Dakota	Agent	Approved	06/20/2025
B Tennessee	Agent	Approved	06/23/2025
B Texas	Agent	Approved	06/20/2025
B Utah	Agent	Approved	06/23/2025
B Vermont	Agent	Approved	06/20/2025
B Virginia	Agent	Approved	06/24/2025
B Washington	Agent	Approved	06/20/2025
B West Virginia	Agent	Approved	06/23/2025
B Wisconsin	Agent	Approved	06/20/2025



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	06/20/2025

Branch Office Locations

Winter Park, FL

Employment 2 of 3

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

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

Firm ID#: 105790

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/23/2022
IA Massachusetts	Investment Adviser Representative	Approved	11/08/2018

Branch Office Locations

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

JOHN HANCOCK INVESTMENT MANAGEMENT LLC
Winter Park, FL

Employment 3 of 3

Firm Name: **JOHN HANCOCK DISTRIBUTORS LLC**

Main Address: 200 BERKELEY STREET
BOSTON, MA 02116

Firm ID#: 5249

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	12/14/2011
B Florida	Agent	Approved	08/02/2022
B Massachusetts	Agent	Approved	01/17/2012

Branch Office Locations



Qualifications

JOHN HANCOCK DISTRIBUTORS LLC

Winter Park, FL



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, 2 general industry/product exams, and 1 state securities law exam.

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	05/01/2002

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	06/30/2005

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	12/21/2012 - 11/08/2018	MANULIFE ASSET MANAGEMENT (US) LLC	CRD# 106435	BOSTON, MA
IA	07/13/2007 - 12/31/2010	JOHN HANCOCK ADVISERS, LLC	CRD# 105790	BOSTON, MA
IA	04/20/2006 - 06/04/2007	PIONEER INSTITUTIONAL ASSET MANAGEMENT, INC.	CRD# 138756	BOSTON, MA
B	08/09/2004 - 06/04/2007	PIONEER FUNDS DISTRIBUTOR, INC.	CRD# 24497	BOSTON, MA
IA	11/07/2005 - 04/20/2006	PIONEER INVESTMENT MANAGEMENT, INC.	CRD# 107719	BOSTON, MA
IA	05/21/2002 - 07/19/2004	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	CLEVELAND, OH
B	05/02/2002 - 07/19/2004	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	05/02/2002 - 07/19/2004	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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 ADVISERS, LLC	Mass Transfer	Y	BOSTON, MA, United States
12/2012 - Present	MANULIFE ASSET MANAGEMENT (US) LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BOSTON, MA, United States
12/2011 - Present	JOHN HANCOCK DISTRIBUTORS LLC	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, United States
07/2007 - Present	JOHN HANCOCK ADVISORS LLC	REG REP	Y	BOSTON, MA, United States
06/2007 - Present	JOHN HANCOCK FUNDS, LLC	REG REP	Y	BOSTON, MA, 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

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:	Individual
Regulatory Action Initiated By:	STATE OF OHIO DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Undertaking
Other Sanction(s) Sought:	NONE
Date Initiated:	02/08/2001
Docket/Case Number:	LGL-0000549-H
Employing firm when activity occurred which led to the regulatory action:	CLEVELAND FINANCIAL GROUP
Product Type:	Insurance
Other Product Type(s):	LIFE INSURANCE
Allegations:	I WAS ACCUSED OF ANSWERING A QUESTION INCORRECTLY ON MY LIFE INSURANCE APPLICATION. THE QUESTION WAS IN REFERENCE TO WHETHER I HAD EVER BEEN CONVICTED OF A CRIME. I ANSWERED "NO". I BELIEVED THE QUESTION WAS REFERRING TO FELONIES. I HAVE NEVER BEEN CONVICTED OF A FELONY. HOWEVER, THIS ALSO INCLUDED MISDEMEANORS WHICH I HAD BEEN CONVICTED OF WHILE PART OF A STUPID FRATERNITY PRANK IN COLLEGE. IT WAS AN HONEST MISTAKE.
Current Status:	Final
Resolution:	Order
Resolution Date:	10/05/2001
Sanctions Ordered:	

**Other Sanctions Ordered:****Sanction Details:**

PERMITTED TO SIT FOR THE LICENSING EXAM AFTER THE PASSAGE OF ONE YEAR'S TIME FROM ORIGINAL HEARING DATE, AND THE COMPLETION OF 40 HOURS OF STUDY IN A PROGRAM OF INSURANCE EDUCATION APPROVED BY THE SUPERINTENDENT OF INSURANCE. PAY ADMINISTRATIVE COSTS OF \$1,000.

Broker Statement

I WAS GIVEN THE OPPORTUNITY TO HAVE A HEARING IN REGARDS TO THE ALLEGATIONS AGAINST ME. I SENT A REQUEST FOR THAT HEARING ON APRIL 4, 2001. THE DEPARTMENT OF INSURANCE SENT ME A LETTER THAT THE HEARING WOULD BE SCHEDULED FOR MAY 15,2001. ON THE 15TH OF MAY, I APPEARED AT THE HEARING AN WAS INFORMED THAT I WOULD RECEIVE THEIR RECOMMENDATION IN 45 DAYS. ON JULY 23 I DID RECEIVE THEIR RECOMMENDATIONS REPORT. I WAS GIVEN 10 DAYS TO RESPOND TO THEIR REPORT. I DID SO AND NOW I AM WAITING FOR THEIR DECISION. DECISION REACHED 10/11/2001. WAS SUCCESSFULLY LICENSED IN OHIO FOR ACCIDENT/HEALTH/LIFE/VARIABLE ANNUITIES ON 04/11/2002.



End of Report

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