



IAPD Report

WILLIAM J CONDON

CRD# 4750224

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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

WILLIAM J CONDON (CRD# 4750224)

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 **08/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	02/06/2004
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	10/21/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	MML INVESTORS SERVICES, LLC	10409	BOSTON, MA	08/31/2009 - 07/12/2012

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	2



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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	02/06/2004
	FINRA	General Securities Representative	Approved	09/08/2005
	California	Agent	Approved	03/11/2008
	Colorado	Agent	Approved	10/26/2009
	Connecticut	Agent	Approved	02/22/2008
	Delaware	Agent	Approved	03/07/2025
	District of Columbia	Agent	Approved	04/27/2011
	Florida	Agent	Approved	02/23/2009
	Indiana	Agent	Approved	07/16/2025
	Iowa	Agent	Approved	12/15/2009
	Kentucky	Agent	Approved	06/15/2021
	Maine	Agent	Approved	07/13/2007
	Maryland	Agent	Approved	07/06/2011



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	02/11/2004
B	Missouri	Agent	Approved	07/19/2013
B	Nevada	Agent	Approved	06/17/2025
B	New Hampshire	Agent	Approved	02/23/2006
B	New Jersey	Agent	Approved	03/22/2016
B	New York	Agent	Approved	05/05/2005
B	North Carolina	Agent	Approved	06/23/2011
B	Oregon	Agent	Approved	08/18/2026
B	Pennsylvania	Agent	Approved	04/19/2010
B	Rhode Island	Agent	Approved	02/01/2013
B	South Carolina	Agent	Approved	06/20/2022
B	Tennessee	Agent	Approved	03/03/2016
B	Texas	Agent	Approved	09/20/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	10/21/2014
B	Vermont	Agent	Approved	06/11/2009
B	Virginia	Agent	Approved	10/03/2013
B	Washington	Agent	Approved	04/26/2021

Branch Office Locations

MML INVESTORS SERVICES, LLC



Qualifications

280 Congress St
Suite 1300
Boston, MA 02210

MML INVESTORS SERVICES, LLC
Manchester, MA



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
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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	09/07/2005
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/05/2004

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/10/2004



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	08/31/2009 - 07/12/2012	MML INVESTORS SERVICES, LLC	CRD# 10409	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
01/2004 - Present	MASS MUTUAL LIFE INSURANCE COMPANY	AGENT	Y	BOSTON, MA, United States
01/2004 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, United States

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)NAME: WILLIAM CONDON INV REL: Y ADD: 101 FEDERAL ST. SUITE 800, BOSTON MA 02110 NATURE: NONMMLIA INSURANCE BROKERAGE POSITION: SALES START DATE: 2011 NO. HR/MO: 2 NO. HR/MO DURING SEC TRADING: 0 DESCRIBE DUTIES: INDIVIDUAL AND GROUP LIFE, INDIVIDUAL AND GROUP HEALTH..2)NAME: WILLIAM CONDON INV REL: Y ADD: 167 W 7TH ST., SOUTH BOSTON, MA 02127 NATURE: SIMPLE RENTAL PROPERTY- RENTAL INCOME POSITION: OWNER START DATE: 2014 NO. HR/MO: 0 NO. HR/MO DURING SEC TRADING: 0 DESCRIBE DUTIES: RENT AND MAINTAIN APARTMENTS



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	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Other: conditions on continued registration
Date Initiated:	02/28/2019
Docket/Case Number:	R-2016-0032
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MML Investors Services, LLC
Product Type:	No Product
Allegations:	Condon was suspended for one month by FINRA and fined \$10,000 based on allegations that he improperly shared commissions with unregistered individuals and improperly paid for customer referrals.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/28/2019
Sanctions Ordered:	Other: Conditions on continued registration for a period of two years from the date



of the Consent Order

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Reporting Source:	Individual
Regulatory Action Initiated By:	Commonwealth of Massachusetts Securities Division
Sanction(s) Sought:	Undertaking
Date Initiated:	02/28/2019
Docket/Case Number:	R-2016-0032
Employing firm when activity occurred which led to the regulatory action:	MML Investors Services, LLC
Product Type:	No Product
Allegations:	As a result of the Financial Industry Regulatory Authority ("FINRA") Letter of Acceptance, Waiver and Consent disclosure, as reported on Mr. Condon's Central Registration Depository, the Massachusetts Securities Division acted to place conditions on Mr. Condon's registration as an Agent of MML Investors Services, LLC in the Commonwealth of Massachusetts for a period of 2 years from the date of the entry of the Order.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/28/2019
Sanctions Ordered:	Undertaking
Broker Statement	This entry does not reflect a separate or new violation. It arises from the same underlying findings as the FINRA action resolved in 2015 — a routine audit that identified commission-sharing arrangements with office colleagues that did not comply with the firm's written supervisory procedures. The Massachusetts Securities Division subsequently reviewed the same matter and issued a Consent Order in February 2019. The two-year conditions imposed by that Order were fully satisfied as of February 2021. There was no customer harm, no customer complaints, and no client funds were ever affected. Readers should note that these two disclosures reflect a single isolated incident from 2015, not two independent events. This remains the only regulatory matter in my career, which began in 2004. I hold CPA, CFP, and CFA credentials and have otherwise maintained an unblemished professional record.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A



Date Initiated:	08/05/2015
Docket/Case Number:	2012034628601
Employing firm when activity occurred which led to the regulatory action:	MML INVESTORS SERVICES, LLC
Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, CONDON CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE SHARED COMMISSIONS WITH UNREGISTERED INDIVIDUALS. THE FINDINGS STATED THAT CONDON PAID THE UNREGISTERED INDIVIDUALS APPROXIMATELY \$62,000 IN CONNECTION WITH CUSTOMERS THAT THEY REFERRED TO HIM. THE FINDINGS ALSO STATED THAT CONDON CAUSED HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE BY WRITING PERSONAL CHECKS OF APPROXIMATELY \$115,000 DIRECTLY TO REGISTERED PERSONS TO COMPENSATE THEM FOR THEIR INVOLVEMENT IN SALES OF SECURITIES, RATHER THAN ENSURING THAT THE COMMISSIONS WERE PAID THROUGH THE FIRM AS REQUIRED BY ITS WRITTEN SUPERVISORY PROCEDURES (WSPS).
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/05/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	ONE MONTH
Start Date:	09/08/2015
End Date:	10/07/2015

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	08/18/2015
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement** Fine paid in full on August 18, 2015.
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 08/05/2015**Docket/Case Number:** [2012034628601](#)**Employing firm when activity occurred which led to the regulatory action:** MML INVESTORS SERVICES, LLC**Product Type:** No Product**Allegations:** WITHOUT ADMITTING OR DENYING THE FINDINGS, CONDON CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE SHARED COMMISSIONS WITH UNREGISTERED INDIVIDUALS. THE FINDINGS STATED THAT CONDON PAID THE UNREGISTERED INDIVIDUALS APPROXIMATELY \$62,000 IN CONNECTION WITH CUSTOMERS THAT THEY REFERRED TO HIM. THE FINDINGS ALSO STATED THAT CONDON CAUSED HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE BY WRITING PERSONAL CHECKS OF APPROXIMATELY \$115,000 DIRECTLY TO REGISTERED PERSONS TO COMPENSATE THEM FOR THEIR INVOLVEMENT IN SALES OF SECURITIES, RATHER THAN ENSURING THAT THE COMMISSIONS WERE PAID THROUGH THE FIRM AS REQUIRED BY ITS WRITTEN SUPERVISORY PROCEDURES (WSPS).**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 08/05/2015**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** ANY CAPACITY**Duration:** ONE MONTH**Start Date:** 09/08/2015**End Date:** 10/07/2015**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)



Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/30/2015

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

This matter arose from a routine compliance audit in 2015. There was no customer harm, no customer complaints, and no client funds were ever at risk. Early in my career, without any intent to circumvent firm policy, I shared commissions with colleagues in my office that did not comply with the firm's written supervisory procedures. The matter was resolved through a negotiated settlement with FINRA, consisting of a \$10,000 fine and a one-month suspension, both of which were satisfied in full in August 2015. This remains the only regulatory matter in my career, which began in 2004. I hold CPA, CFP and CFA designations and have maintained an otherwise unblemished professional record.



End of Report

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