IAPD Report

MICHAEL HANNA

CRD# 5235310

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

MICHAEL HANNA (CRD# 5235310)

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 **03/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	05/22/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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
B	MSI FINANCIAL SERVICES, INC.	14251	NEW YORK, NY	09/09/2010 - 03/25/2017
IA	AXA ADVISORS, LLC	6627	NEW YORK, NY	07/02/2008 - 06/10/2010
B	AXA ADVISORS, LLC	6627	NEW YORK, NY	11/07/2006 - 06/10/2010

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
Customer Dispute	4

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 **31** 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
B	FINRA	General Securities Representative	Approved	03/25/2017
B	Arizona	Agent	Approved	03/25/2017
B	California	Agent	Approved	03/25/2017
B	Colorado	Agent	Approved	03/25/2017
IA	Colorado	Investment Adviser Representative	Approved	05/12/2025
B	Connecticut	Agent	Approved	03/25/2017
B	Delaware	Agent	Approved	10/06/2021
B	District of Columbia	Agent	Approved	03/25/2017
B	Florida	Agent	Approved	03/25/2017
IA	Florida	Investment Adviser Representative	Approved	08/19/2021
B	Georgia	Agent	Approved	04/12/2021
B	Illinois	Agent	Approved	08/28/2019
B	Indiana	Agent	Approved	03/18/2024

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	09/02/2025
B	Louisiana	Agent	Approved	03/25/2017
B	Maryland	Agent	Approved	03/25/2017
B	Massachusetts	Agent	Approved	01/22/2020
B	Michigan	Agent	Approved	02/08/2021
B	Missouri	Agent	Approved	09/14/2020
B	Nevada	Agent	Approved	07/29/2020
B	New Jersey	Agent	Approved	03/25/2017
B	New York	Agent	Approved	03/25/2017
IA	New York	Investment Adviser Representative	Approved	06/18/2021
B	North Carolina	Agent	Approved	09/06/2022
B	Ohio	Agent	Approved	09/22/2021
B	Oklahoma	Agent	Approved	03/10/2021
B	Oregon	Agent	Approved	03/11/2021
B	Pennsylvania	Agent	Approved	03/25/2017
B	South Carolina	Agent	Approved	09/22/2023
B	Tennessee	Agent	Approved	03/10/2026
B	Texas	Agent	Approved	03/25/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	05/22/2017

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	02/03/2025
B	Vermont	Agent	Approved	10/01/2019
B	Virginia	Agent	Approved	03/25/2017
B	Washington	Agent	Approved	03/25/2017

Branch Office Locations

MML INVESTORS SERVICES, LLC
150 SE 2nd Avenue
Suite 300
Miami, FL 33131

MML INVESTORS SERVICES, LLC
Key West, FL

MML INVESTORS SERVICES, LLC
New York, NY

MML INVESTORS SERVICES, LLC
Mountain Village, CO

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	11/06/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/13/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/09/2010 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	NEW YORK, NY
IA	07/02/2008 - 06/10/2010	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	11/07/2006 - 06/10/2010	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY

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
03/2017 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Miami, FL, United States
07/2016 - Present	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	Miami, FL, United States
08/2010 - 03/2017	METLIFE SECURITIES INC	FINANCIAL SERVICES REP	Y	NEW YORK, NY, United States
08/2010 - 07/2016	METROPOLITAN LIFE INSURANCE COMPANY	AGENT	Y	NEW YORK, NY, 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: MICHAEL HANNA INV REL: Y ADD: AT RESIDENTIAL ADDRESS NATURE: OUTSIDE INSURANCE POSITION: SALES/OWNER/AGENT/PARTNER START DATE: 10/2016 NO HRS/MO: 25 NO HRS/MO DUR TRADING: 25 DESCRIBE DUTIES: INDIVIDUAL LIFE/HEALTH, P&C, GROUP LIFE/HEALTH FIXED ANNUITIES

(2) NAME: MIKE HANNA INV REL: Y ADD: RESIDENTIAL ADD NATURE: WRITING A BOOK ON GENERAL MONEY MATTERS INCLUDING THE PHILOSOPHY OF MONEY,BUDGETING,SAVING POSITION: WRITER/AUTHOR START DATE: 6/1/19 NO HRS/MO: 2 NO HRS/MO DUR TRADING: 0

(3) NAME: MICHAEL HANNA INV REL: Y ADDR: AT RESIDENTIAL ADDRESS NATURE: RENTAL INCOME POSITION: OWNER START: 06/07/2021 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 0 DUTIES: PROPERTY UPKEEP.

(4) NAME: MAZURA INC. INV REL: Y ADDR: AT RESIDENTIAL ADDRESS NATURE: TAX PURPOSES AND ADMINISTRATION POSITION: OWNER START: 09/01/2022 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 1 DUTIES: TAX PURPOSES AND ADMINISTRATION

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
Customer Dispute	4

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:	VIRGINIA STATE CORPORATION COMMISSION BUREAU OF INSUARANCE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/27/2011
Docket/Case Number:	65410
Employing firm when activity occurred which led to the regulatory action:	AXA ADVISORS, LLC.
Product Type:	Insurance
Allegations:	VIOLATIONS OF SECTION 38.2-502 OF THE CODE OF VIRGINIA WITH RESPECT TO THE SALE OF A LIFE INSURANCE POLICY AND VIOLATIONS OF SECTION 38.2-1826 OF THE CODE OF VIRGINIA FOR NOT CHANGING ADDRESS RECORDS AS REQUIRED.
Current Status:	Final
Resolution:	Settled
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:	05/27/2011

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/27/2011
Was any portion of penalty waived?	No
Amount Waived:	

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MetLife Securities
Allegations:	Customer alleged the advisor's recommendation to purchase a variable life insurance policy in December 2013 was not appropriate.
Product Type:	Insurance
Alleged Damages:	$34,500.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/18/2015
Complaint Pending?	No
Status:	Denied
Status Date:	12/11/2015
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	ATTORNEY ALLEGES THAT NO PROSPECTUS WAS DELIVERED TO HIS CLIENTS UNTIL AFTER THE SALE OF A VARIABLE LIFE INSURANCE AND TRADITIONAL LIFE INSURANCE POLICY TOOK EFFECT. CLIENTS ARE REQUESTING THE FIRM TO RESCIND THE POLICIES WITHOUT THE IMPOSISTION OF SURRENDER CHARGES. DAMAGES UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT SPECIFY DAMAGES AMOUNT.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/22/2010
Complaint Pending?	No
Status:	Settled
Status Date:	05/14/2010
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM HAS FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT. BASED UPON APPEAL RECEIVED 4/20/2010, THE MATTER [WHICH INVOLVED TWO RGISTERED REPRESENTATIVES] SETTLED. AXA-EQUITABLE AGREED TO CANCEL THE POLICY FROM INCEPTION AND REFUND THE TOTAL PREMIUMS PAID. APPEAL CLOSED DATE: 5/14/2010 LOSS TO FIRM: $21,000.00

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	ATTORNEY ALLEGES MISREPRESENTATION IN THE SALE OF A VARIABLE LIFE INSURANCE POLICY. CLIENT IS REQUESTING THE FIRM TO REIMBURSE THE CURRENT VALUE OF HER ACCOUNT. DAMAGES UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT SPECIFY DAMAGES AMOUNT.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/21/2009
Complaint Pending?	No

Status:	Settled
Status Date:	01/22/2010
Settlement Amount:	$37,036.94
Individual Contribution Amount:	$0.00
Broker Statement	WITHOUT ADMITTING FAULT OR LIABILITY, THE PARTIES AGREED TO SETTLE THE MATTER. AXA EQUITABLE AGREED TO CANCEL THE POLICY, WAIVE THE SURRENDER CHARGE AND PAY THE CUSTOMER THE ACCOUNT VALUE OF THE POLICY. LOSS TO FIRM: $37,036.94.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES SHE PURCHASED A VARIABLE LIFE INSURANCE POLICY BASED ON THE AGENT'S REPRESENTATION THAT SHE WOULD RECEIVE A $1 MILLION DOLLAR POLICY FOR $250 PER MONTH. CLIENT IS REQUESTING THE FIRM TO INVESTIGATE THIS MATTER. DAMAGES ARE UNSPECIFIED.
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/18/2009
Complaint Pending?	No
Status:	Denied
Status Date:	04/29/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.

End of Report

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