User Guidance

www.adviserinfo.sec.gov

IAPD Report

GEOFFREY STAFFORD WILLIAMS

CRD# 5481208

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

GEOFFREY STAFFORD WILLIAMS (CRD# 5481208)

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 **02/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	CRD# 28262	11/04/2024
B	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	11/05/2024
IA	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	CRD# 105790	11/05/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	105790	BOSTON, MA	11/08/2018 - 07/17/2024
B	JOHN HANCOCK DISTRIBUTORS LLC	5249	BOSTON, MA	02/08/2018 - 07/17/2024
B	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	28262	Tempe, AZ	09/29/2016 - 07/17/2024

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

Report Summary

Judgment/Lien	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 **52** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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	11/05/2024
B	Alabama	Agent	Approved	11/05/2024
B	Alaska	Agent	Approved	11/05/2024
B	Arizona	Agent	Approved	11/07/2024
B	Arkansas	Agent	Approved	11/05/2024
B	California	Agent	Approved	11/05/2024
B	Colorado	Agent	Approved	11/05/2024
B	Connecticut	Agent	Approved	11/05/2024
B	Delaware	Agent	Approved	11/05/2024
B	District of Columbia	Agent	Approved	11/05/2024
B	Florida	Agent	Approved	11/05/2024
B	Georgia	Agent	Approved	11/05/2024
B	Hawaii	Agent	Approved	11/05/2024

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	11/05/2024
B	Illinois	Agent	Approved	11/05/2024
B	Indiana	Agent	Approved	11/05/2024
B	Iowa	Agent	Approved	11/05/2024
B	Kansas	Agent	Approved	11/05/2024
B	Kentucky	Agent	Approved	11/05/2024
B	Louisiana	Agent	Approved	11/05/2024
B	Maine	Agent	Approved	11/05/2024
B	Maryland	Agent	Approved	11/05/2024
B	Massachusetts	Agent	Approved	11/05/2024
B	Michigan	Agent	Approved	11/05/2024
B	Minnesota	Agent	Approved	11/05/2024
B	Mississippi	Agent	Approved	11/05/2024
B	Missouri	Agent	Approved	11/05/2024
B	Montana	Agent	Approved	11/12/2024
B	Nebraska	Agent	Approved	11/05/2024
B	Nevada	Agent	Approved	11/05/2024
B	New Hampshire	Agent	Approved	11/05/2024
B	New Jersey	Agent	Approved	11/05/2024

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	11/05/2024
B	New York	Agent	Approved	11/05/2024
B	North Carolina	Agent	Approved	11/05/2024
B	North Dakota	Agent	Approved	11/05/2024
B	Ohio	Agent	Approved	11/05/2024
B	Oklahoma	Agent	Approved	11/05/2024
B	Oregon	Agent	Approved	11/05/2024
B	Pennsylvania	Agent	Approved	11/05/2024
B	Puerto Rico	Agent	Approved	11/05/2024
B	Rhode Island	Agent	Approved	11/05/2024
B	South Carolina	Agent	Approved	11/05/2024
B	South Dakota	Agent	Approved	11/05/2024
B	Tennessee	Agent	Approved	11/05/2024
B	Texas	Agent	Approved	11/05/2024
B	Utah	Agent	Approved	11/05/2024
B	Vermont	Agent	Approved	11/05/2024
B	Virginia	Agent	Approved	11/05/2024
B	Washington	Agent	Approved	11/05/2024
B	West Virginia	Agent	Approved	11/05/2024

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	11/05/2024
B	Wyoming	Agent	Approved	11/05/2024

Branch Office Locations

JOHN HANCOCK DISTRIBUTORS LLC
Queen Creek, AZ

Employment 2 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
B	FINRA	General Securities Representative	Approved	11/04/2024
B	Arizona	Agent	Approved	11/07/2024
B	Massachusetts	Agent	Approved	11/04/2024

Branch Office Locations

Queen Creek, AZ

Employment 3 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	Arizona	Investment Adviser Representative	Approved	11/07/2024
IA	Massachusetts	Investment Adviser Representative	Approved	11/05/2024

Qualifications

Branch Office Locations

JOHN HANCOCK INVESTMENT MANAGEMENT LLC
Queen Creek, AZ

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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/15/2011
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/10/2010

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	06/25/2008

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/07/2014
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/2008

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	11/08/2018 - 07/17/2024	JOHN HANCOCK INVESTMENT MANAGEMENT LLC	CRD# 105790	BOSTON, MA
B	02/08/2018 - 07/17/2024	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	BOSTON, MA
B	09/29/2016 - 07/17/2024	JOHN HANCOCK INVESTMENT MANAGEMENT DISTRIBUTORS LLC	CRD# 28262	Tempe, AZ
IA	06/14/2017 - 11/08/2018	MANULIFE ASSET MANAGEMENT (US) LLC	CRD# 106435	BOSTON, MA
IA	08/04/2015 - 09/07/2016	VOYA INVESTMENT MANAGEMENT CO. LLC	CRD# 106494	SCOTTSDALE, AZ
B	07/27/2015 - 09/07/2016	VOYA INVESTMENTS DISTRIBUTOR, LLC	CRD# 37886	SCOTTSDALE, AZ
IA	01/07/2014 - 06/10/2015	VOYA INVESTMENT MANAGEMENT CO. LLC	CRD# 106494	SCOTTSDALE, AZ
B	11/05/2012 - 06/10/2015	VOYA INVESTMENTS DISTRIBUTOR, LLC	CRD# 37886	SCOTTSDALE, AZ
B	06/26/2008 - 11/05/2012	CHARLES SCHWAB & CO., INC.	CRD# 5393	PHOENIX, AZ

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
10/2024 - Present	John Hancock	529 Specialist	Y	Queen Creek, AZ, United States
10/2024 - Present	John Hancock Distributors	Registered Representative	Y	Boston, MA, United States
10/2024 - Present	John Hancock Investment Management Distributors llc	Registered Representative	Y	Boston, MA, United States
10/2024 - Present	John Hancock Investment Management llc	Investment Advisor	Y	Boston, MA, United States
11/2018 - 07/2024	JOHN HANCOCK ADVISERS, LLC	Mass Transfer	Y	BOSTON, MA, United States
01/2018 - 07/2024	John Hancock Distributors LLC	Registered Rep.	Y	Boston, MA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - 07/2024	John Hancock	Internal Business Consultant	N	Tempe, AZ, United States
09/2016 - 07/2024	John Hancock Funds	Registered Representative	Y	Boston, MA, United States
07/2015 - 09/2016	VOYA INVESTMENT MANAGEMENT	RELATIONSHIP ASSOCIATE	Y	SCOTTSDALE, AZ, United States
07/2015 - 09/2016	VOYA INVESTMENT MANAGEMENT CO. LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
07/2015 - 09/2016	VOYA INVESTMENTS DISTRIBUTOR, LLC	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

OBA Details:
1.)
a. OBA Name: FJB Ventures LLC
b. Investment-related? No
c. OBA Address: 1980 W. Madisen Marie Ave Queen Creek, AZ 85142
d. OBA Nature: Pop-up food service
e. Position, Title, or Relationship with the OBA: Chef/Cook
f. OBA Start Date: 07/20/2024
g. Approximate number of hours/month devoted to the OBA: 4
h. Number of hours devoted to the OBA during securities trading hours: 0
i. Brief description duties related to the OBA: Cook/Prepare the tri tip along with mac and cheese.

2.)
a. OBA Name: Waste Ops LLC
b. Investment-related? No
c. OBA Address: 1980 W. Madisen Marie Ave Queen Creek, AZ 85142
d. OBA Nature: Dumpster rental services
e. Position, Title, or Relationship with the OBA: Marketing Strategist
f. OBA Start Date: 08/03/2024
g. Approximate number of hours/month devoted to the OBA: 4
h. Number of hours devoted to the OBA during securities trading hours: 0
i. Brief description duties related to the OBA: Help with marketing ideas to construction and utility companies.

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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Cavalry SPV I LLC
Judgment/Lien Amount:	$7,763.53
Judgment/Lien Type:	Civil
Date Filed with Court:	12/16/2024
Date Individual Learned:	02/03/2025
Type of Court:	State Court
Name of Court:	Pioneer Justics Court
Location of Court:	Pinal, AZ
Docket/Case #:	CV2024001591
Judgment/Lien Outstanding?	Yes
Broker Statement	Unaware of this Judgement until it was brought to my attention on 02/03/2025.

End of Report

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