

BrokerCheck Report

LINDA LOUISE ROMAN

CRD# 1576155

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

LINDA L. ROMAN

CRD# 1576155

Currently employed by and registered with the following Firm(s):**IA LPL FINANCIAL LLC**WESTPORT, CT
CRD# 6413

Registered with this firm since: 06/01/2022

B LPL FINANCIAL LLCWESTPORT, CT
CRD# 6413

Registered with this firm since: 06/02/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 27 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):****IA WELLS FARGO CLEARING SERVICES, LLC**CRD# 19616
ST. LOUIS, MO
09/2010 - 06/2022**B WELLS FARGO CLEARING SERVICES, LLC**CRD# 19616
NEW YORK, NY
08/2002 - 06/2022**B UBS PAINEWEBBER INC.**CRD# 8174
WEEHAWKEN, NJ
11/1999 - 07/2002**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Termination	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 27 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	06/02/2022
U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	06/16/2022
B California	Agent	Approved	06/02/2022
B Colorado	Agent	Approved	06/02/2022
IA Connecticut	Investment Adviser Representative	Approved	06/01/2022
B Connecticut	Agent	Approved	06/02/2022
B Delaware	Agent	Approved	06/09/2022
B District of Columbia	Agent	Approved	06/02/2022
B Florida	Agent	Approved	06/03/2022
B Illinois	Agent	Approved	08/03/2022
B Kentucky	Agent	Approved	06/02/2022
B Louisiana	Agent	Approved	06/02/2022
B Maine	Agent	Approved	06/02/2022

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Massachusetts	Agent	Approved	06/23/2022
B Michigan	Agent	Approved	06/02/2022
B Mississippi	Agent	Approved	06/02/2022
B Nevada	Agent	Approved	06/02/2022
B New Hampshire	Agent	Approved	06/02/2022
B New Jersey	Agent	Approved	06/02/2022
B New York	Agent	Approved	06/02/2022
B North Carolina	Agent	Approved	06/02/2022
B Oregon	Agent	Approved	06/02/2022
B Pennsylvania	Agent	Approved	07/07/2022
B South Carolina	Agent	Approved	06/30/2022
B South Dakota	Agent	Approved	06/02/2022
B Texas	Agent	Approved	06/02/2022
IA Texas	Investment Adviser Representative	Restricted Approval	06/02/2022
B Virginia	Agent	Approved	06/11/2022
B Washington	Agent	Approved	06/02/2022
B Wisconsin	Agent	Approved	06/02/2022

Branch Office Locations

LPL FINANCIAL LLC
WESTPORT, CT

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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	10/01/2018
B General Securities Representative Examination	Series 7	03/21/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/20/1987

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2010 - 06/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY
B 08/2002 - 06/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY
B 11/1999 - 07/2002	UBS PAINEWBBER INC.	8174	WEEHAWKEN, NJ
B 12/1988 - 11/1999	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 02/1988 - 01/1989	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY
B 06/1987 - 02/1988	RANDOLPH BROWN SECURITIES CORPORATION	18338	
B 03/1987 - 07/1987	BROOKS WEINGER ROBBINS & LEEDS INC.	14156	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2022 - Present	LPL Financial LLC	Registered Representative	Y	FAIRFIELD, CT, United States
11/2016 - 06/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) 12/20/2023 - Cat Rescue Inc- Other - other - Business Owner - President/ Business Owner- non-inv. related- Home Based - start date

Registration and Employment History



Other Business Activities, continued

04/10/2003 - 1 Hour Per Month/ 0 Hours During Trading

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CONNECTICUT
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	01/11/1989
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	SHEARSON LEHMAN HUTTON, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE SECURITIES AND BUSINESS INVESTMENTS DIVISION, DEPARTMENT OF BANKING, ALLEGED THAT LINDA LOUISE ROMAN VIOLATED SECTION 36-474(A) OF THE CONNECTICUT UNIFORM SECURITIES ACT FROM FEBRUARY 1988 THROUGH JUNE 1988, IN THAT MS. ROMAN, WHILE EMPLOYED AS AGENT OF A BROKER-DEALER FIRM EFFECTED SECURITY TRANSACTIONS PRIOR TO COMPLETING AGENT REGISTRATION IN CONNECTICUT.
Current Status:	Final



Resolution: Consent

Resolution Date: 01/11/1989

Sanctions Ordered: Monetary/Fine \$100.00

Other Sanctions Ordered: STIPULATION

Sanction Details: ON JANUARY 11, 1989, MS. ROMAN ENTERED INTO A STIPULATION AGREEMENT WITH THE CONNECTICUT SECURITIES DIVISION IN WHICH MS. ROMAN STIPULATED TO THE FOLLOWING: [1] ROMAN CONSENTED TO REVIEW AND ABIDE BY THE INTERNAL POLICIES AND PROCEDURES OF ANY CONNECTICUT BROKER-DEALER SHE MAY BECOME ASSOCIATED WITH IN THE FUTURE. [2] ROMAN AGREED TO FAMILIARIZE HERSELF WITH CONNECTICUT'S ACT AND REGULATIONS TO INSURE COMPLIANCE WITH THIS STATES SECURITY LAWS. [3] ROMAN AGREED TO PAY A FINE IN THE AMOUNT OF \$100.00.

Reporting Source: Firm

Regulatory Action Initiated By: CONNECTICUT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/11/1989

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action: SHEARSON LEHMAN HUTTON, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 01/11/1989

Sanctions Ordered: Monetary/Fine \$100.00

**Other Sanctions Ordered:****Sanction Details:****Firm Statement**

STIPULATION AND SETTLEMENT AGREEMENT IN NOVEMBER, 1988, WITH THE DEPARTMENT OF BANKING, STATE OF CONNECTICUT, IN THE MATTER OF LINDA LOUISE ROMAN. WHEREAS THE BANKING COMMISSION, THROUGH THE SECURITIES AND BUSINESS INVESTMENTS DIVISION OF THE DEPARTMENT OF BANKING OF THE STATE OF CONNECTICUT CONDUCTED AN INVESTIGATION INTO THE ACTIVITIES OF LINDA LOUISE ROMAN, AND BELIEVES THAT AS A RESULT OF SUCH INVESTIGATION, ROMAN HAS VIOLATED SECTION 36-474(A) OF THE CONNECTICUT GENERAL STATUTES IN THAT, FROM APPROXIMATELY FEBRUARY, 1988 THROUGH AT LEAST JUNE, 1988, ROMAN TRANSACTED BUSINESS AS AN AGENT OF THAT FIRM IN CONNECTICUT. AS A RESULT OF THIS INVESTIGATION, THE DEPARTMENT FEELS THAT THEY HAVE GROUNDS TO INITIATE ADMINISTRATIVE PROCEEDINGS BASED ON THE ALLEGED VIOLATIONS. ROMAN HAS SUBMITTED AN OFFER OF SETTLEMENT TO THE COMMISSIONER WHO HAS DETERMINED TO ACCEPT SOLELY FOR THE PURPOSE OF OBVIATING THE NEED FOR FORMAL ADMINISTRATIVE PROCEEDINGS ON THE PURPORTED VIOLATIONS. THEREBY, ROMAN AGREES TO ^{**1**} UNDERTAKE TO REVIEW AND ABIDE BY THE INTERNAL POLICIES AND PROCEDURES OF ANY BROKER/DEALER FROM WHOM SHE BECOMES REGISTERED AS AN AGENT IN CONNECTICUT ^{**2**} ROMAN REPRESENTS THAT SHE HAS FAMILIARIZED WITH THE ACT AND THE REGULATIONS THEREUNDER IN ORDER TO ENSURE HER COMPLIANCE WITH THE PROVISIONS THEREOF ^{**3**} ON OR BEFORE THE DATE THIS AGREEMENT IS EXECUTED BY THE COMMISSIONER, ROMAN SHALL PAY TO THE STATE OF CONNECTICUT A FINE OF \$100. WHICH SHALL CONSTITUTE A PARTIAL REIMBURSEMENT TO THE STATE OF CONNECTICUT FOR THE COSTS OF INVESTIGATION ^{**4**} THE AGREEMENT SHALL BE BINDING TO BOTH OF THE PARTIES. A COPY OF THE DOCUMENT HAS BEEN RECEIVED. THE DOCUMENT HAS NOT BEEN OFFICIALLY SIGNED BY THE BANKING COMMISSIONER.



Reporting Source: Broker
Regulatory Action Initiated By: CONNECTICUT
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 01/11/1989
Docket/Case Number: UNKNOWN
Employing firm when activity occurred which led to the regulatory action: SHEARSON LEHMAN HUTTON, INC.
Product Type:
Other Product Type(s):
Allegations:
Current Status: Final
Resolution: Consent
Resolution Date: 01/11/1989
Sanctions Ordered: Monetary/Fine \$100.00
Other Sanctions Ordered:
Sanction Details:
Broker Statement
(3) INITIATED BY: THE STATE OF CONN.
(4) TYPE OF EVENT OR PROCEEDING: ADMINISTRATIVE
(5) DATE INITIATED: I BELIEVE IN JULY OR AUGUST OF 1988
(6) DOCKET OR CASE #: NONE
(7) ALLEGATIONS: I UNKNOWINGLY VIOLATED SECTION 36-474(A) OF THE C.T. GENERAL STATUTES, IN THAT FROM FEBRUARY 1988 THRU JUNE 1988 I CONDUCTED BUSINESS IN THAT STATE.
(8) (A) CURRENT STATUS: I THOUGHT IT WAS RESOLVED
(B) DATE: I BELIEVE IN OCTOBER 1988
(C) RESULT: THE RESULT WAS A PERSONAL FINE OF \$100.00 WHICH WAS PAID TO THE STATE PROMPTLY. SHEARSON LEHMAN PAID A FINE OF APPROXIMATELY \$4000.00.
(9) SUMMARY: I HAD BEEN TOLD BY THE MANAGER OF SHEARSON LEHMAN THAT MY C.T. REGISTRATION, UNBEKNOWN TO ME HAD NOT BEEN IN EFFECT AND AS A RESULT OF MY TRADING FROM FEBRUARY THRU JUNE OF 1988, A FINE HAD BEEN INCURRED. MICHAEL



BURNS, (MANAGER OF SHEARSON LEHMAN) SAID IT WAS THE FIRMS FAULT AND THEREFORE THE FIRM WOULD FINE ME THE LEAST AMOUNT POSSIBLE. THERE WAS NO ORDER ISSUED PER INFORMATION RECEIVED FROM MR. SAL CANNATA, STATE OF CONNECTICUT.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	UBS PAINEWBBER
Termination Type:	Permitted to Resign
Termination Date:	07/15/2002
Allegations:	ON JULY 17, 2002, LINDA ROMAN WAS PERMITTED TO RESIGN FROM UBS PAINEWBBER. AT THE TIME OF HER RESIGNATION, LINDA ROMAN WAS UNDER INTERNAL REVIEW DUE TO HAVING OBTAINED WRITTEN TRADING AUTHORIZATION OVER CUSTOMER ACCOUNTS AND EXERCISING THAT DISCRETION WITHOUT OBTAINING PRIOR APPROVAL FROM A PRINCIPAL OF THE FIRM.
Product Type:	No Product
Other Product Types:	
Broker Statement	PAINEWBBER HIRED ME TO BRING MY BUSINESS INCLUDING DISCRETIONARY ACCOUNTS. PAINEWBBER FAILED TO PROCESS PAPERWORK AND DOCUMENTS AUTHORIZING THE DISCRETION I SECURED UNDER CUSTOMER AUTHORITY. PAINEWBBER REFUSED TO ACCEPT THSE DOCUMENTS DUE TO AUDIT. CUSTOMERS CONTACTED BY PAINEWBBER CONFIRMED MY AUTHORITY AND SATISFACTION WITH MY PERFORMANCE. PAINEWBBER WAS WELL AWARE OF MY EXERCISING OF DISCRETION. I WAS NEVER ADVISED OF ANY RULE VIOLATION OR SUSPENSION.

End of Report



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