BrokerCheck Report

BRITTANY NICOLE ROMERO

CRD# 6499865

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.

BRITTANY N. ROMERO

CRD# 6499865

Currently employed by and registered with the following Firm(s):

IA **J.P. MORGAN SECURITIES LLC**
1350 S. SOTO STREET
LOS ANGELES, CA 90023
CRD# 79
Registered with this firm since: 07/26/2018

B **J.P. MORGAN SECURITIES LLC**
1350 S. SOTO STREET
LOS ANGELES, CA 90023
CRD# 79
Registered with this firm since: 07/26/2018

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:

- 26 Self-Regulatory Organizations
- 53 U.S. states and territories

This broker has passed:

- 2 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 **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
10/2015 - 08/2018

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
TUSTIN, CA
08/2015 - 08/2018

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? **No**

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 26 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Office Address: **383 MADISON AVENUE**
NEW YORK, NY 10179

Firm CRD#: **79**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	07/26/2018
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	07/25/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/25/2019
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	07/26/2018
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	07/25/2019
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	07/25/2019
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/26/2018
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	FINRA	General Securities Representative	Approved	07/26/2018
B	FINRA	General Securities Sales Supervisor	Approved	04/02/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	07/26/2018

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/09/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MEMX LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019
B	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	MIAX PEARL, LLC	General Securities Representative	Approved	07/25/2019
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	04/02/2025
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	07/25/2019
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	NYSE American LLC	General Securities Representative	Approved	07/26/2018
B	NYSE American LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/26/2018
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	NYSE National, Inc.	General Securities Representative	Approved	07/26/2018
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/26/2018
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	04/02/2025
B	Nasdaq BX, Inc.	General Securities Representative	Approved	07/26/2018
B	Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	04/02/2025

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	07/26/2018
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/26/2018
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	Nasdaq MRX, LLC	General Securities Representative	Approved	07/26/2018
B	Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/26/2018
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/02/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	07/26/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/02/2025
B	New York Stock Exchange	General Securities Representative	Approved	07/26/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	04/02/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/03/2025
B	Alaska	Agent	Approved	02/03/2025
B	Arizona	Agent	Approved	02/03/2025
B	Arkansas	Agent	Approved	02/03/2025
B	California	Agent	Approved	07/26/2018
IA	California	Investment Adviser Representative	Approved	07/26/2018
B	Colorado	Agent	Approved	05/12/2021
B	Connecticut	Agent	Approved	02/03/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	02/03/2025
B	District of Columbia	Agent	Approved	02/03/2025
B	Florida	Agent	Approved	02/03/2025
B	Georgia	Agent	Approved	02/03/2025
B	Hawaii	Agent	Approved	10/27/2021
B	Idaho	Agent	Approved	02/03/2025
B	Illinois	Agent	Approved	02/03/2025
B	Indiana	Agent	Approved	03/24/2021
B	Iowa	Agent	Approved	02/03/2025
B	Kansas	Agent	Approved	02/03/2025
B	Kentucky	Agent	Approved	02/03/2025
B	Louisiana	Agent	Approved	02/03/2025
B	Maine	Agent	Approved	02/03/2025
B	Maryland	Agent	Approved	02/03/2025
B	Massachusetts	Agent	Approved	02/03/2025
B	Michigan	Agent	Approved	02/03/2025
B	Minnesota	Agent	Approved	02/03/2025
B	Mississippi	Agent	Approved	02/03/2025
B	Missouri	Agent	Approved	02/03/2025
B	Montana	Agent	Approved	02/03/2025
B	Nebraska	Agent	Approved	07/25/2019

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	02/03/2025
B	New Hampshire	Agent	Approved	02/03/2025
B	New Jersey	Agent	Approved	02/03/2025
B	New Mexico	Agent	Approved	02/03/2025
B	New York	Agent	Approved	02/03/2025
B	North Carolina	Agent	Approved	07/26/2018
B	North Dakota	Agent	Approved	02/03/2025
B	Ohio	Agent	Approved	02/03/2025
B	Oklahoma	Agent	Approved	02/03/2025
B	Oregon	Agent	Approved	01/17/2022
B	Pennsylvania	Agent	Approved	02/03/2025
B	Puerto Rico	Agent	Approved	02/03/2025
B	Rhode Island	Agent	Approved	02/03/2025
B	South Carolina	Agent	Approved	02/03/2025
B	South Dakota	Agent	Approved	02/03/2025
B	Tennessee	Agent	Approved	02/03/2025
B	Texas	Agent	Approved	07/26/2018
IA	Texas	Investment Adviser Representative	Approved	07/26/2018
B	Utah	Agent	Approved	02/03/2025
B	Vermont	Agent	Approved	02/03/2025
B	Virgin Islands	Agent	Approved	02/03/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	02/03/2025
B	Washington	Agent	Approved	04/09/2020
B	West Virginia	Agent	Approved	02/03/2025
B	Wisconsin	Agent	Approved	02/03/2025
B	Wyoming	Agent	Approved	02/03/2025

Branch Office Locations

J.P. MORGAN SECURITIES LLC
3 Park Plz, Floor 08
Irvine, CA 92614

J.P. MORGAN SECURITIES LLC
1350 S. SOTO STREET
LOS ANGELES, CA 90023

J.P. MORGAN SECURITIES LLC
1235 N. HARBOR BLVD.
FULLERTON, CA 92832

J.P. MORGAN SECURITIES LLC
2301 E 1ST STREET
LOS ANGELES, CA 90033

J.P. MORGAN SECURITIES LLC
8450 FIRESTONE BLVD.
DOWNEY, CA 90241

J.P. MORGAN SECURITIES LLC
15128 E. ROSECRANS AVE.
LA MIRADA, CA 90638

J.P. MORGAN SECURITIES LLC
9270 Whittier Blvd
PICO RIVERA, CA 90660

J.P. MORGAN SECURITIES LLC

Broker Qualifications

Employment 1 of 1, continued

11618 E. ROSECRANS AVENUE
NORWALK, CA 90650

J.P. MORGAN SECURITIES LLC
13103 E. PHILADELPHIA
WHITTIER, CA 90601

J.P. MORGAN SECURITIES LLC
1300 W. IMPERIAL HWY.
LA HABRA, CA 90631

J.P. MORGAN SECURITIES LLC
11344 CRENSHAW BLVD
INGLEWOOD, CA 90303

J.P. MORGAN SECURITIES LLC
5717 S. VERMONT AVENUE
LOS ANGELES, CA 90037

J.P. MORGAN SECURITIES LLC
725 S. FIGUEROA ST.
LOS ANGELES, CA 90017

J.P. MORGAN SECURITIES LLC
17314 PIONEER BLVD,
ARTESIA, CA 90701

J.P. MORGAN SECURITIES LLC
1435 E GAGE AVE, STE C
LOS ANGELES, CA 90001

J.P. MORGAN SECURITIES LLC
9200 E. SLAUSON BLVD
PICO RIVERA, CA 90660

J.P. MORGAN SECURITIES LLC
1001 W ORANGETHORPE AVE
FULLERTON, CA 92833

J.P. MORGAN SECURITIES LLC
10200 PARAMOUNT BLVD.
DOWNEY, CA 90241

J.P. MORGAN SECURITIES LLC
4401 CRENSHAW BLVD
LOS ANGELES, CA 90043

Broker Qualifications

Employment 1 of 1, continued

J.P. MORGAN SECURITIES LLC
13417 Telegraph Rd
Whittier, CA 90605

J.P. MORGAN SECURITIES LLC
3520 WEST CENTURY BLVD.
INGLEWOOD, CA 90303

J.P. MORGAN SECURITIES LLC
400 S. HOPE ST.
LOS ANGELES, CA 90071

J.P. MORGAN SECURITIES LLC
11817 WHITTIER BLVD
WHITTIER, CA 90601

J.P. MORGAN SECURITIES LLC
15625 E. WHITTIER BOULEVARD
WHITTIER, CA 90603

J.P. MORGAN SECURITIES LLC
12645 S. HAWTHORNE BLVD
HAWTHORNE, CA 90250

J.P. MORGAN SECURITIES LLC
100 S SAN PEDRO ST
LOS ANGELES, CA 90012

J.P. MORGAN SECURITIES LLC
5857 S Central Ave Unit 195
Los Angeles, CA 90001

J.P. MORGAN SECURITIES LLC
8997 Apollo Way
Downey, CA 90242

J.P. MORGAN SECURITIES LLC
12333 La Mirada Blvd
La Mirada, CA 90638

J.P. MORGAN SECURITIES LLC
1901 W Whittier Blvd
La Habra, CA 90631

J.P. MORGAN SECURITIES LLC

Broker Qualifications

Employment 1 of 1, continued

1050 S Grand Ave, Ste 3
Los Angeles, CA 90015

J.P. MORGAN SECURITIES LLC
1200 S Figueroa St
Ste 100
Los Angeles, CA 90015

J.P. MORGAN SECURITIES LLC
3 Park Plz, Floor 08
Irvine , CA 92614

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	04/01/2025
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/10/2025

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/13/2015

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/29/2015

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	10/2015 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TUSTIN, CA
B	08/2015 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TUSTIN, CA

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
07/2018 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Irvine, CA, United States
08/2015 - 07/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL SOLUTIONS ADVISOR	Y	ANAHEIM, CA, 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.

No information reported.

End of Report

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