



IAPD Report

JOHN ROMANO

CRD# 1328361

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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

JOHN ROMANO (CRD# 1328361)

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 **04/27/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CFM ADVISORS INC	CRD# 111581	05/25/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	AEGIS CAPITAL CORP.	15007	NEW YORK, NY	09/03/1992 - 11/27/2001
B	CASTLE SECURITIES CORP.	16077	FREEPORT, NY	03/23/1989 - 09/02/1992
B	AEGIS CAPITAL CORP.	15007	FREEPORT, NY	08/03/1992 - 08/25/1992

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
Civil Event	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CFM ADVISORS INC**
Main Address: 1373 VETERANS HIGHWAY
SUITE 10
HAUPPAUGE, NY 11788
Firm ID#: 111581

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	05/25/2021

Branch Office Locations

CFM ADVISORS INC
1373 VETERANS HIGHWAY
SUITE 10
HAUPPAUGE, NY 11788



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Limited Representative-Equity Trader Exam (S55)	Series 55	03/04/2000
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B General Securities Representative Examination (S7)	Series 7	05/03/1997
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1985
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PROFESSIONAL DESIGNATIONS

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

No information reported.



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	09/03/1992 - 11/27/2001	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
B	03/23/1989 - 09/02/1992	CASTLE SECURITIES CORP.	CRD# 16077	FREEPORT, NY
B	08/03/1992 - 08/25/1992	AEGIS CAPITAL CORP.	CRD# 15007	
B	12/18/1984 - 03/10/1989	INVESTORS CENTER, INC.	CRD# 14670	

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
04/2006 - Present	CFM ADVISORS, INC.	DIRECTOR & CHIEF COMPLIANCE OFFICER	Y	HAUPPAUGE, 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.

No information reported.



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
Civil Event	1

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/27/1996

Docket/Case Number: C10960100

Employing firm when activity occurred which led to the regulatory action: CASTLE SECURITIES CORP.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 12/23/1996

Sanctions Ordered: Censure
Monetary/Fine \$25,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:



Regulator Statement

COMPLAINT NO. C10960100 FILED SEPTEMBER 27, 1996 BY DISTRICT NO. 10 AGAINST JOHN ROMANO ALLEGING VIOLATIONS OF NASD RULES 2110, 2120, 3050(c) IN THAT RESPONDENT ROMANO OPENED, OR CAUSED TO BE OPENED, A SECURITIES ACCOUNT IN HIS WIFE'S NAME AT ANOTHER MEMBER FIRM AND FAILED TO NOTIFY HIS MEMBER FIRM IN WRITING THAT HE HAD OPENED AN ACCOUNT WITH ANOTHER MEMBER FIRM
 NOR DID HE ADVISE THE OTHER FIRM OF HIS ASSOCIATION WITH HIS MEMBER FIRM; PLACED ORDERS FOR THE SAME ACCOUNT WITHOUT GIVING PRIOR WRITTEN NOTICE TO HIS MEMBER FIRM OF HIS INTENTION TO EXECUTE THESE TRANSACTIONS; WITH AN INTENT TO DEFRAUD HIS MEMBER FIRM, HE KNOWINGLY OR RECKLESSLY SOLD SECURITIES FROM HIS MEMBER FIRM'S PROPRIETARY TRADING ACCOUNT AT PRICES NO REASONABLY RELATED TO THE MARKET TO HIS WIFE'S ACCOUNT WHICH WERE AT A PRICE SUBSTANTIALLY BELOW THE PREVAILING MARKET PRICE TO THE DETRIMENT OF HIS MEMBER FIRM.

ON DECEMBER 23, 1996, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT ROMANO WAS ISSUED;
 THEREFORE, RESPONDENT ROMANO IS CENSURED, FINED \$25,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 105 DAYS, REQUIRED TO REQUALIFY BY EXAM IN ALL CAPACITIES; AND REFRAIN FROM OPENING A BROKERAGE ACCOUNT, EITHER FOR HIMSELF OR HIS SPOUSE AT A FIRM OTHER THAN THAT OF HIS EMPLOYER FOR A PERIOD OF FIVE YEARS.

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS FEBRUARY 18, 1997 AND WILL CONCLUDE JUNE 2, 1997.

\$25,000.00 FULLY PAID AS OF 5/28/98, INVOICE # 97-10-38

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Reporting Source: Individual
Regulatory Action Initiated By: NASD
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 09/27/1996
Docket/Case Number: C10960100
Employing firm when activity occurred which led to the regulatory action: CASTLE SECURITIES CORP.
Product Type:
Other Product Type(s):
Allegations: Not Provided
Current Status: Final
Resolution: Decision & Order of Offer of Settlement



Resolution Date:	12/23/1996
Sanctions Ordered:	Censure Monetary/Fine \$25,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	CENSURED, FINED \$25,000.00, SUSPENDED FROM ASSOCIATING WITH ANY MEMBER FIRM IN ANY CAPACITY FOR 105 DAYS (3 1/2 MONTHS), REQUALIFIED BY EXAM IN ALL CAPACITIES, AND REFRAIN FROM OPENING A BROKER AGE ACCT FOR MYSELF OR MY SPOUSE AT A FIRM OTHER THAN THAT OF MY EMPLOYER FOR A PERIOD OF 5 YEARS.
Broker Statement	Not Provided
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Bar
Other Sanction(s) Sought:	
Date Initiated:	05/01/2001
Docket/Case Number:	REL. #34-44241; FILE #3-10463
Employing firm when activity occurred which led to the regulatory action:	CASTLE SECURITIES CORP.
Product Type:	Penny Stock(s)
Other Product Type(s):	
Allegations:	+05/07/2001+ SEC ADMINISTRATIVE PROCEEDINGS REL. 34-44241, DATED 05/01/2001, DISCLOSES: THE SEC INSTITUTED PUBLIC ADMINISTRATIVE PROCEEDINGS PURSUANT TO SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT"), AGAINST JOHN ROMANO ("ROMANO").
Current Status:	Final
Resolution:	Order
Resolution Date:	05/01/2001
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	IT IS ORDERED THAT ROMANO BE, AND HEREBY IS, BARRED FROM PARTICIPATING IN ANY OFFERING OF A PENNY STOCK, INCLUDING: ACTING AS A PROMOTER, FINDER, CONSULTANT, AGENT, OR OTHER PERSON WHO ENGAGES IN ACTIVITIES WITH A BROKER, DEALER OR ISSUER FOR PURPOSES OF THE ISSUANCE OR TRADING IN ANY PENNY STOCK; OR INDUCING OR ATTEMPTING TO INDUCE THE PURCHASE OR SALE OF ANY PENNY STOCK.
Regulator Statement	ROMANO HAS SUBMITTED AN OFFER OF SETTLEMENT WITHOUT



ADMITTING OR DENYING THE FINDINGS, EXCEPT THE JURISDICTION AND THE ENTRY OF THE INJUNCTION AGAINST HIM, AND CONSENTED TO THE ENTRY OF THIS ORDER. THE SEC FINDS THAT: (1) ROMANO WAS EMPLOYED FROM MARCH 1989 UNTIL AUGUST 1992 AS A TRADER AND REGISTERED REPRESENTATIVE AT A BROKER-DEALER FIRM ("FIRM") REGISTERED WITH THE SEC PURSUANT TO SEC. 15(B) OF THE EXCHANGE ACT. (2) ON 04/12/2001, THE U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK, IN A CIVIL CASE #94 CIV. 6608 (PKL)(AJP) ("INJUNCTIVE ACTION"), PERMANENTLY ENJOINED ROMANO FROM VIOLATING SECS. 5(A), 5(C), & 17(A) OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), AND SEC. 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 AND SEC. 101 OF REGULATION M AND RULES 101 & 102 THEREUNDER. THE COURT ENTERED THE INJUNCTION PURSUANT TO ROMANO'S OFFER OF SETTLEMENT TO THE SEC, IN WHICH ROMANO NEITHER ADMITTED OR DENIED THE ALLEGATIONS IN THE SEC'S AMENDED COMPLAINT, DATED 10/20/1995 ("AMENDED COMPLAINT"). IN ADDITION, PURSUANT TO THAT SETTLEMENT OFFER, THE COURT FURTHER ORDERED ROMANO TO PAY DISGORGEMENT OF GAINS AND PREJUDGMENT INTEREST TOTALING \$43,776. (3) THE SEC'S AMENDED COMPLAINT IN THE INJUNCTIVE ACTION ALLEGES, IN RELEVANT PART, THAT ROMANO MANIPULATED THE PRICE OF SHARES OF COMMON STOCK OF A CORPORATION ("CORPORATION"), FROM \$.05 TO OVER \$5.00 PER SHARE DURING THE PERIOD FROM SEPTEMBER THROUGH DECEMBER 1989. THE AMENDED COMPLAINT ALLEGES THAT, DURING THAT PERIOD, FIRM WAS THE PRINCIPAL MARKET MAKER, AND ROMANO WAS THE PRINCIPAL TRADER, OF CORPORATION SECURITIES. THE AMENDED COMPLAINT FURTHER ALLEGES THAT AS DIRECTED BY OTHER GROUPS ("GROUPS"), ROMANO EXECUTED WASH TRADES AND MATCHED ORDERS WHILE TRADING CORPORATION SECURITIES. THE AMENDED COMPLAINT FURTHER ALLEGES THAT THE GROUPS PROVIDED ROMANO WITH GUARANTEED TRADING PROFITS. (4) BY OFFERING AND SELLING CORPORATION SECURITIES, ROMANO PARTICIPATED IN AN OFFERING OF PENNY STOCK.

Reporting Source: Individual

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMM.

Sanction(s) Sought: Prohibition

Other Sanction(s) Sought:

Date Initiated: 05/01/2001

Docket/Case Number: FILE # 3-10463

Employing firm when activity occurred which led to the regulatory action: CASTLE SECURITIES

Product Type: Futures - Financial

Other Product Type(s):

Allegations: COMPLAINT FOR INJUNCTIVE RELIEF: IT IS ALLEGED THAT I AS AN EMPLOYEE AND REGISTERED REP./TRADER FOR CASTLE SEC. ALONG WITH CASTLE & OTHER MANIPULATED THE SECURITIES OF U.S. ENVIRONMENTAL

Current Status: Final



Resolution:	Order
Resolution Date:	04/12/2001
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	MR. ROMANO WAS BARRED FROM BEING INVOLVED WITH PENNYSTOCK OFFERINGS AND BARRED FROM TRADING PENNYSTOCKS
Broker Statement	SEC ALLEGED THAT MR. ROMANO AND OTHER DEFENDANTS MANIPULATED AN OFFERING OF A PENNYSTOCK.



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Relief Sought: Injunction

Other Relief Sought: DISGORGEMENT, PLUS PREJUDGMENT INTEREST AND CIVIL PENALTIES.

Date Court Action Filed: 09/13/1994

Product Type: Other

Other Product Types: COMMON STOCK

Court Details: THE U.S. DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK - [CIVIL ACTION NO. 94-6608 PKL, S.D.N.Y.] - (LR-14233) AND (LR-16980)

Employing firm when activity occurred which led to the action: CASTLE SECURITIES CORP.

Allegations: +9/22/94 SEC NEWS DIGEST, ISSUE 94-176, DATED SEPTEMBER 15, 1994 ENFORCEMENT PROCEEDINGS DISCLOSES: THE SEC ANNOUNCED THE FILING OF A COMPLAINT SEEKING PERMANENT INJUNCTIONS, DISGORGEMENT AND PREJUDGMENT INTEREST, CIVIL PENALTIES, OFFICER AND DIRECTOR BARS, AND OTHER RELIEF. THE COMPLAINT CHARGES VIOLATIONS OF CERTAIN REGISTRATION, ANTIFRAUD, AND REPORTING PROVISIONS OF THE SECURITIES LAWS. THE COMPLAINT ALSO CHARGES THAT DEFENDANT JOHN ROMANO CONSPIRED TO VIOLATE CERTAIN REGISTRATION AND ANTIFRAUD PROVISIONS. THE ALLEGATIONS ARISE OUT OF A CLASSIC BLIND POOL OFFERING, SUBSEQUENT MARKET MANIPULATION FUELED BY MATERIAL MISREPRESENTATIONS AND OMISSIONS RELATING TO A CORPORATION ("CORPORATION"), AND THE FRAUDULENT SALE OF THE UNDERLYING STOCK OF CORPORATION TO UNSUSPECTING RETAIL CUSTOMERS BY BROKER-DEALERS WHO ACCEPTED UNDISCLOSED KICKBACKS FROM PROMOTERS IN RETURN FOR RETAILING THE STOCK. (LR-14233) ** +05/08/2001+ SEC LITIGATION RELEASE #16980, DATED 05/01/2001, DISCLOSES: THE SEC'S AMENDED COMPLAINT ALLEGED A CLASSIC FRAUDULENT BLIND POOL OFFERING, SUBSEQUENT MARKET MANIPULATION AND FRAUDULENT SALE OF THE UNDERLYING SECURITIES OF A CORPORATION ("CORPORATION"), BY BROKER-DEALERS WHO ACCEPTED UNDISCLOSED KICKBACKS FROM PROMOTERS IN RETURN FOR RETAILING THE STOCK TO UNSUSPECTING CUSTOMERS. THE AMENDED COMPLAINT ALLEGED THAT: ROMANO MANIPULATED THE PRICE OF SHARES OF COMMON STOCK OF A CORPORATION, FROM \$.05 TO OVER \$5.00 PER SHARE DURING THE PERIOD FROM SEPTEMBER THROUGH AT LEAST DECEMBER 1989. DURING THAT PERIOD, DEFENDANT ROMANO WAS THE PRINCIPAL TRADER, OF CORPORATION SECURITIES. ROMANO EXECUTED WASH TRADES AND MATCHED ORDERS WHILE TRADING CORPORATION SECURITIES.

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 05/01/2001



Sanctions Ordered or Relief Granted:	Cease and Desist/Injunction Disgorgement/Restitution
Other Sanctions:	
Sanction Details:	THE FINAL JUDGMENTS PERMANENTLY ENJOIN: (1) ROMANO FROM COMMITTING FUTURE VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT OF 1933 ("SECURITIES ACT"), AND SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AND RULE 10B-5; (2) ROMANO FROM COMMITTING FUTURE VIOLATIONS OF RULES 101 AND 102 OF REGULATION M; (3) ROMANO FROM COMMITTING FUTURE VIOLATIONS OF SECTION 5(A) AND 5(C) OF THE SECURITIES ACT; (4) FURTHER, THE FINAL JUDGMENTS REQUIRE ROMANO TO DISGORGE GAINS AND INTEREST TOTALING \$43,776.
Regulator Statement	THE SEC ANNOUNCED TODAY THE SETTLEMENT OF CLAIMS AGAINST DEFENDANT ROMANO IN THIS ACTION, FILED BY COMPLAINT ON SEPTEMBER 13, 1994, AND AMENDED COMPLAINT ON OCTOBER 23, 1995. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE AMENDED COMPLAINT, DEFENDANT CONSENTED TO FINAL JUDGMENT THAT IMPOSED PERMANENT INJUNCTIONS AND OTHER EQUITABLE RELIEF AGAINST HIM.
.....	
Reporting Source:	Individual
Initiated By:	SECURITIES AND EXCHANGE COMM.
Relief Sought:	Other
Other Relief Sought:	TO PERMANANTLY ENJOIN MR. ROMANO FROM VIOLATING VARIOUS PROVISIONS OF THE SECURITIES LAWS THE SEC IMPOSED A PERMANENT INJUNCTION WHICH PREVENTS MR. ROMANO FROM BEING INVOLVED WITH THE OFFERING OR TRADING OF PENNY STOCKS
Date Court Action Filed:	04/21/2001
Product Type:	Penny Stock(s)
Other Product Types:	
Court Details:	94CIV.6608
Employing firm when activity occurred which led to the action:	CASTLE SECURITIES CORP.
Allegations:	COMPLAINT FOR INJUNCTIVE RELIEF: IT IS ALLEGED THAT I AS AN EMPLOYEE AND REGISTERED REP./TRADER FOR CASTLE SEC. ALONG WITH CASTLE & OTHER MANIPULATED THE SECURITIES OF U.S. ENVIRONMENTAL
Current Status:	Final
Resolution:	Settled
Resolution Date:	05/01/2001
Sanctions Ordered or Relief Granted:	Bar
Other Sanctions:	
Sanction Details:	THE SEC INSTITUTED ADMINISTRATIVE PROCEDURES AND IMPOSED A REMEDIAL SANCTION UPON MR. ROMANO WHICH RESULTED IN THE SEC



IMPOSING A PERMANENT INJUNCTION ON MR. ROMANO WHICH BARS HIM FROM TRADING OR BEING INVOLVED IN THE OFFERING OF PENNY STOCKS

SEC ALLEGED THAT MR. ROMANO AND OTHERS MANIPULATED THE OFFERING OF A PENNY STOCK

Broker Statement



End of Report

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