



IAPD Report

LINDA LOUISE ROMAN

CRD# 1576155

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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

LINDA LOUISE ROMAN (CRD# 1576155)

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 **12/03/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	06/01/2022
B	LPL FINANCIAL LLC	CRD# 6413	06/02/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY	09/21/2010 - 06/06/2022
B	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY	08/01/2002 - 06/06/2022
B	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	11/01/1999 - 07/31/2002

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
Termination	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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/02/2022
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



Qualifications

Regulator	Registration	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



Qualifications

WESTPORT, CT



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	03/21/1987
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/20/1987
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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
IA	09/21/2010 - 06/06/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
B	08/01/2002 - 06/06/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
B	11/01/1999 - 07/31/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	12/14/1988 - 11/10/1999	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	02/10/1988 - 01/02/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	06/17/1987 - 02/24/1988	RANDOLPH BROWN SECURITIES CORPORATION	CRD# 18338	
B	03/24/1987 - 07/18/1987	BROOKS WEINGER ROBBINS & LEEDS INC.	CRD# 14156	

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
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 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) 12/20/2023 - Cat Rescue Inc- Other - other - Business Owner - President/ Business Owner- non-inv. related- Home Based - start date 04/10/2003 - 1 Hour Per Month/ 0 Hours During Trading



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
Termination	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 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: Individual

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 THOUGH 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.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual
Firm Name: UBS PAINWEBBER
Termination Type: Permitted to Resign
Termination Date: 07/15/2002

Allegations: ON JULY 17, 2002, LINDA ROMAN WAS PERMITTED TO RESIGN FROM UBS PAINWEBBER. 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 PAINWEBBER HIRED ME TO BRING MY BUSINESS INCLUDING DISCRETIONARY ACCOUNTS. PAINWEBBER FAILED TO PROCESS PAPERWORK AND DOCUMENTS AUTHORIZING THE DISCRETION I SECURED UNDER CUSTOMER AUTHORITY. PAINWEBBER REFUSED TO ACCEPT THESE DOCUMENTS DUE TO AUDIT. CUSTOMERS CONTACTED BY PAINWEBBER CONFIRMED MY AUTHORITY AND SATISFACTION WITH MY PERFORMANCE. PAINWEBBER 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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