



## IAPD Report

# ANGELO EDWARD ROMAN

CRD# 1989113

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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

### ANGELO EDWARD ROMAN (CRD# 1989113)

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 **10/29/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROMAN WEALTH MANAGEMENT, LLC	CRD# 325020	03/23/2023

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	KESTRA ADVISORY SERVICES, LLC	283330	Mount Juliet, TN	11/04/2016 - 05/31/2023
B	KESTRA INVESTMENT SERVICES, LLC	42046	Mount Juliet, TN	11/04/2016 - 05/31/2023
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CONSHOHOCKEN, PA	10/21/2011 - 11/04/2016

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
Customer Dispute	2



## 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ROMAN WEALTH MANAGEMENT, LLC**  
Main Address: MOUNT JULIET, TN  
Firm ID#: 325020

Regulator	Registration	Status	Date
<b>IA</b> Pennsylvania	Investment Adviser Representative	Approved	03/28/2023
<b>IA</b> Tennessee	Investment Adviser Representative	Approved	03/23/2023

### Branch Office Locations

**ROMAN WEALTH MANAGEMENT, LLC**  
MOUNT JULIET, TN





## 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, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/13/2002
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/12/2002

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/29/1991
 General Securities Representative Examination (S7)	Series 7	10/21/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/05/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1989

### 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	11/04/2016 - 05/31/2023	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	Mount Juliet, TN
B	11/04/2016 - 05/31/2023	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	Mount Juliet, TN
B	10/21/2011 - 11/04/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CONSHOHOCKEN, PA
IA	10/21/2011 - 11/04/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CONSHOHOCKEN, PA
IA	01/21/2004 - 10/24/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	DREXEL HILL, PA
B	09/28/2001 - 10/24/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	DREXEL HILL, PA
B	06/06/2001 - 10/11/2001	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	09/18/2000 - 06/20/2001	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA
B	12/23/1994 - 10/16/2000	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA
B	01/06/1993 - 12/23/1994	PNC SECURITIES CORP	CRD# 15647	PITTSBURGH, PA
B	01/03/1990 - 03/08/1993	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	10/25/1989 - 12/19/1989	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO

### 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
03/2023 - Present	Roman Wealth Management, LLC	Investment Adviser Representative	Y	Mount Juliet, TN, United States
11/2016 - 03/2023	KESTRA ADVISORY SERVICES, LLC dba Roman Wealth Management	INVESTMENT ADVISOR REPRESENTATIVE	Y	DREXEL HILL, PA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 03/2023	Kestra Investment Services, LLC dba Roman Wealth Management	REGISTERED REPRESENTATIVE	Y	Drexel Hill, PA, United States
10/2011 - 11/2016	AMERIPRISE FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR OR INDEPENDENT FINANCIAL ADVISOR	Y	CONSHOHOCKEN, PA, 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.

Board President for the Joe Beretta Heart Foundation, a 501(c)(3). He spends approximately 15-20 hours a month on this activity.

Business Name: ROMAN WEALTH MANAGEMENTT, LLC POSITION: Owner NATURE: Investment advisory services through an independent outside RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 03/27/2023 ADDRESS: 895 Pleasant Grove Road, Mount Juliet TN 37122, United States DESCRIPTION: All duties and obligations pertinent to running an RIA business.



## 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
Customer Dispute	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Tennessee Securities Division
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	12/04/2023
<b>Docket/Case Number:</b>	Matter No.: 24-01290
<b>URL for Regulatory Action:</b>	<a href="https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/3.21.25%20SECURITIES%20JM%20-%20Final%20Roman%20Wealth(Signed).pdf">https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/3.21.25%20SECURITIES%20JM%20-%20Final%20Roman%20Wealth(Signed).pdf</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Roman Wealth Management, L.L.C. (CRD# 325020)
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Respondent Roman Wealth failed to comply with Tennessee's custody requirements by conducting first-party transactions on behalf of its clients for a number of months. Respondent Roman Wealth was missing thirteen (13) client agreements. Additionally, four (4) client agreements were not properly executed with the Respondent's signature. Respondent Roman Wealth charged inconsistent advisory fees for fifteen (15) clients and twenty (20) accounts and overcharged one (1) client an advisory fee. Respondent Roman Wealth failed to maintain material change ADV delivery documentation for three (3) clients. Respondent Roman Wealth failed to comply with and failed to maintain the minimum net capital for one month, May 2023.
<b>Current Status:</b>	Final



<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	03/31/2025
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Undertaking Other: Respondent Roman shall complete six (6) hours of investment adviser continuing education on the subject of books and records compliance within ninety (90) days of the execution and entry of the consent order.
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$3,000.00
<b>Portion Levied against individual:</b>	\$3,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.

**Allegations:** AFTER BEING INFORMED THAT THE CLIENT IS INCAPACITATED AND TO AVOID IMPROPER DISBURSEMENT OF THE FUNDS, AMERIPRISE INITIATED THIS ACTION SEEKING INTERPLENDER OF THE SUBJECT PROCEEDS AND THE DETERMINATION BY THE COURT OF THE PARTY OR PARTIES TO WHOM SAID FUNDS SHOULD BE DISTRIBUTED. IN HIS COUNTERCLAIM, DEFENDANT-COUNTER CLAIMANT [CLIENT] ALLEGES UNSUITABLE INVESTMENTS FOR AN ELDERLY CLIENT AND UNAUTHORIZED TRANSACTIONS AND SEEKS RETURN OF HIS ORIGINAL INVESTMENT PLUS INTEREST.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Mutual Fund

**Alleged Damages:** \$0.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** UNITED STATES DISTRICT COURT FOR THE DISTRICT OF NEW JERSEY

**Docket/Case #:** 2:13-CV-04576-ES-SCM

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/28/2013

## Customer Complaint Information

**Date Complaint Received:** 08/28/2013

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 10/21/2014

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE PARTIES VOLUNTARILY WITHDREW AND DISMISSED THEIR COUNTERCLAIMS AND CROSS-CLAIMS AGAINST AMERIPRISE FINANCIAL SERVICES, INC. AND THE SUBJECT ADVISOR WITH PREJUDICE.

**Disclosure 2 of 2**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PNC BROKERAGE CORP

**Allegations:** CUSTOMER EXPRESSED DISSATISFACTION WITH THE SALES PRACTICES OF ANGELO ROMAN. SPECIFICALLY, CUSTOMER ALLEGED MISREPRESENTATION REGARDING FEES ASSOCIATED WITH HIS MUTUAL FUND PURCHASE.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$7,000.00

**Customer Complaint Information**

**Date Complaint Received:** 12/08/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/29/1999

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CUSTOMER PURCHASED \$200,000.00 IN FIDELITY ADVISOR MUTUAL FUNDS (\$100,000.00) IN EACH FUND, "A" SHARES. MORE THAN SIX MONTHS AFTER THE ORIGINAL PURCHASE HE STATED THAT I NEVER MENTIONED ANYTHING ABOUT THE FRONT END SALES CHARGE. SINCE I MADE THE ORIGINAL PRESENTATION TO HIM VIA CONFERENCE CALL WITH A FELLOW EMPLOYEE PRESENT WHO WORKED WITH CUSTOMER ON THE BANK SIDE, AND THE EMPLOYEE TESTIFIED THAT HE HEARD ME MENTION THE FRONT END SALES CHARGE TO CUSTOMER ON MORE THAN ONE OCCASION, MY COMPLIANCE DEPARTMENT REJECTED THE COMPLAINT. IT WAS THE BELIEF OF MY COMPLIANCE DEPARTMENT THAT THE CLIENT WAS NOT HAPPY WITH THE PERFORMANCE OF THE INVESTMENTS AND WAS TRYING TO BACK OUT OF THE TRADE BY STATING THAT I DID NOT PROPERLY DISCLOSE REQUIRED INFORMATION TO HIM.



## End of Report

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