



IAPD Report

JOSEPH JAMES ROMEI

CRD# 2866643

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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.



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

JOSEPH JAMES ROMEI (CRD# 2866643)

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 **12/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NEWEDGE ADVISORS	CRD# 171351	10/15/2025

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	WAYNE WEALTH MANAGEMENT, INC.	292370	WAYNE, NJ	04/02/2018 - 12/31/2025
B	NEXT FINANCIAL GROUP, INC.	46214	WAYNE, NJ	07/01/2005 - 04/02/2018
IA	NEXT FINANCIAL GROUP, INC.	46214	WAYNE, NJ	07/01/2005 - 04/02/2018

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

Employment 1 of 1

Firm Name: **NEWEDGE ADVISORS**
Main Address: 858 CAMP STREET
NEW ORLEANS, LA 70130
Firm ID#: 171351

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

NEWEDGE ADVISORS
Vero Beach, FL



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




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	04/02/2018
 General Securities Representative Examination (S7)	Series 7	09/29/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/12/1997

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/2005
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/2002

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	04/02/2018 - 12/31/2025	WAYNE WEALTH MANAGEMENT, INC.	CRD# 292370	WAYNE, NJ
B	07/01/2005 - 04/02/2018	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WAYNE, NJ
IA	07/01/2005 - 04/02/2018	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WAYNE, NJ
IA	08/19/2002 - 11/10/2005	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	WAYNE, NJ
B	07/14/1997 - 08/01/2005	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY

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
10/2025 - Present	NewEdge Advisors, LLC	Investment Advisor Representative	Y	New Orleans, GA, United States
12/2018 - Present	Wayne Wealth Management Inc	President & Owner	Y	Vero Beach, FL, United States
12/2018 - Present	Wayne Wealth Management Inc	Investment Advisor Representative	Y	Vero Beach, FL, United States
11/1972 - Present	JOSEPH J. ROMEI, CPA, LLC	CPA	N	WAYNE, NJ, United States
12/2017 - 12/2018	WAYNE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WAYNE, NJ, United States
12/2017 - 12/2018	WAYNE WEALTH MANAGEMENT, LLC	MANAGING MEMBER	Y	WAYNE, NJ, United States
06/2005 - 03/2018	NEXT FINANCIAL GROUP, INC	REGISTERED REPRESENTATIVE	Y	WAYNE, NJ, United States



Registration & Employment History



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. Mr. Romei conducts advisory services through NewEdge Advisors, LLC, a registered investment advisor, doing business as (DBA) Emeritus Wealth Group. Mr. Romei is an investment advisor representative and devotes 160 hours per month to this activity during trading hours.
2. Mr. Romei is a licensed insurance agent/broker. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Romei, as a fiduciary, will act in the client's best interest.
3. Mr. Romei is the owner of Joseph J Romei CPA LLC. He prepares and files taxes for clients. Mr. Romei devotes 20 hours per month to this activity during trading hours.
4. Mr. Romei is the owner of Wayne Wealth Management Inc, a registered investment advisor. The business is in the process of being wound down and closed.



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	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:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/02/2014
Docket/Case Number:	0322-SR-06/14
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	NEXT FINANCIAL GROUP, INC.
Product Type:	No Product
Allegations:	CONDUCTED INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/02/2014



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$8,000.00

Portion Levied against individual: \$8,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/02/2014

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

ON 12/2/2014, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF JOSEPH JAMES ROMEI. MR. ROMEI ADMITS TO AND CONSENTS TO THE ENTRY OF THE FINDING BY THE OFFICE. THE OFFICE FOUND THAT MR. ROMEI ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517. 12(4), F. S. MR. ROMEI AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$8,000. THE OFFICE AGREED TO APPROVE JOSEPH JAMES ROMEI'S APPLICATION AS AN ASSOCIATED PERSON (RA) WITH NEXT FINANCIAL GROUP, INC. EFFECTIVE 12/2/2014.

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Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/02/2014

Docket/Case Number: 0322-SR-06/14

Employing firm when activity occurred which led to the regulatory action: NEXT FINANCIAL GROUP, INC.

Product Type: No Product

Allegations: DURING THE PERIOD FROM 1/13/2012 UNTIL 3/31/2014 MR. ROMEI CONDUCTED INVESTMENT ADVISORY BUSINESS FROM OFFICES IN FLORIDA WITHOUT THE BENEFIT OF LAWFUL REGISTRATION.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/02/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$8,000.00
Portion Levied against individual:	\$8,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/02/2014
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	NEXT IS A PROPERLY LICENSED INVESTMENT ADVISORY FIRM WITH THE U.S. SECURITIES AND EXCHANGE COMMISSION AND IS PROPERLY REGISTERED WITH THE STATE OF FLORIDA FOR ADVISORY BUSINESS. JOSEPH J. ROMEI, CPA, WAS PROPERLY LICENSED IN THE STATE OF FLORIDA TO CONDUCT BROKERAGE BUSINESS; AN ADMINISTRATIVE ERROR BY NEXT CAUSED JOSEPH J. ROMEI, CPA, TO NOT BE PROPERLY REGISTERED IN THE STATE OF FLORIDA TO CONDUCT ADVISORY BUSINESS FOR A SPECIFIC PERIOD OF TIME.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEXT FINANCIAL GROUP INC
Allegations:	THE CLIENT ALLEGES THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITY HE PURCHASED ON SEPTEMBER 23,2008
Product Type:	Annuity-Variable
Alleged Damages:	\$20,309.63
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/01/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/07/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00835
Date Notice/Process Served:	03/07/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/09/2011
Monetary Compensation Amount:	\$13,500.00
Individual Contribution Amount:	\$5,000.00
Broker Statement	I PREVIOUSLY ACTED AS A REGISTERED REPRESENTATIVE FOR



[CUSTOMER NAME], FOR APPROXIMATELY 8 YEARS, WITH POSITIVE RESULTS AND EARNING PROFITS. I RECOMMENDED A RIVERSOURCE ANNUITY TO [CUSTOMER] AS A LONG-TERM FINANCIAL PLANNING TOOL. SHORTLY THEREAFTER, [CUSTOMER] WANTED TO BREAK THE ANNUITY AND DISPUTED THE SURRENDER CHARGES. CASE WAS SETTLED IN ORDER TO AVOID LENGTHY LITIGATION AND LEGAL EXPENSES.



End of Report

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