

## **ADV 2B - Brochure Supplement**

### **MITCHELL A ROMEO**

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SHEFFIELD VILLAGE, OH 44035  
Phone: 440-724-1950

### **Royal Alliance Associates**

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This brochure supplement provides clients with information about MITCHELL A ROMEO that supplements the Royal Alliance Associates disclosure brochure. Please contact Thomas Kirby Harrington, OSJ Manager at 614-798-1345 or Royal Alliance Associates at the firm phone number above, if you did not receive a copy of the Royal Alliance Associates disclosure brochure or if you have any questions about the contents of this brochure supplement. Additional information about MITCHELL A ROMEO is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Information of any disciplinary history for the advisor can be found through the Financial Industry Regulatory Authority's ("FINRA") BrokerCheck system's website; [www.finra.org/brokercheck](http://www.finra.org/brokercheck).

In addition to being an Investment Advisory Representative ("Advisory Representative") and Registered Representative (RR) of the Advisor Group Broker Dealer referenced above, I am also an Investment Advisory Representative of the Independent Registered Investment Adviser below. Advisor Group Broker Dealer is a dually registered Broker Dealer/Investment Adviser where securities and investment advisory services are offered through Advisor Group Broker Dealer, member FINRA/SIPC.

Harrington Asset Management, Inc.

## **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

MITCHELL A ROMEO

Year of Birth: 1992

### **Education**

The Ohio State University, B.S.B.A., 2015 with Investment Finance specialization

Certificate, IMCA®: Certified Private Wealth Advisor® Executive Education Program in conjunction with Chicago Booth School of Business, 2020

### **Business Experience**

Investment Advisor Representative, ROYAL ALLIANCE ASSOCIATES, INC., June 2021 - Present

Owner - RCM Equities, LLC - August 2017 - November 2019

Investment Advisor Representative, HARRINGTON ASSET MANAGEMENT, INC., May 2016 - Present

Registered Representative, ROYAL ALLIANCE ASSOCIATES, INC, February 2016 - Present

Managing Partner & Financial Advisor, STRATA FINANCIAL GROUP, LLC, January 2016 - Present

Equity Research & Private Equity Associate Intern, CLEVELAND RESEARCH COMPANY, May 2015 - December 2015

Associate, MEDWASTE OHIO, February 2013 - January 2015

Investment Research & Administrative Intern - STRATA FINANCIAL GROUP, LLC - January 2013 - May 2015

### **Professional Licenses/Designations**

Certified Plan Fiduciary Advisor (CPFA)

Important information about the Certified Plan Fiduciary Advisor (CPFA) designation: The CPFA credential demonstrates an adviser's knowledge of, expertise in, and commitment to working with retirement plans. Plan advisers who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. Candidates for the CPFA designation must pass the NAPA CPFA Examination, which consists of 70 multiple-choice questions. In order to maintain the CPFA designation the CPFA must earn 10 continuing education ("CE") credits annually. One (1) of the 10 CE credits must be on ethics/professionalism topics.

Chartered Private Wealth Advisor (CPWA)

The CPWA designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. Prerequisites for the CPWA designation are: a Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC® or CPA license; acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements; five years of professional client-centered experience in financial services or a related industry; and two letters of reference from an IMCA member, professional supervisor, or currently licensed professional in financial services or a related industry. CPWA designees have completed a rigorous educational process that includes self-study requirements, an in-class education component, and successful completion of a comprehensive examination. CPWA designees are required to adhere to IMCA's Code of Professional Responsibility and Rules and Guidelines for Use of the Marks. CPWA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

#### Series 7 - General Securities Representative Exam (Stockbroker)

To obtain the Series 7 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

#### Series 66 - Uniform Investment Adviser, Combined State Laws Exam 66

To obtain the Series Combined 63 and 65 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

#### **DISCIPLINARY INFORMATION**

I have no material disciplinary events to report.

#### **OTHER BUSINESS ACTIVITIES**

Your advisor is also a registered representative of Royal Alliance Associates. As such, your advisor may recommend the purchase of securities from Royal Alliance Associates. If you purchase securities from Royal Alliance Associates, your advisor will receive commissions on the sale of investment products and in certain instances

receive ongoing 12b-1 fees, in addition to the receipt of advisory fees for advisory services such as financial planning services.

Your advisor is also an insurance agent and receives commissions on the sale of insurance products and in certain instances, payments for the renewal of certain insurance products, in addition to advisory fees for advisory services, such as financial planning services.

These payments vary by insurance product and company and may provide different incentives depending on the amount of the renewal payment. In some instances, sales commissions from life insurance provide a higher deposit rate to registered representatives than investment products. As such, a registered representative may have a financial incentive to promote certain life insurance products over other investment products. While the firm and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Investment Advisor Representative, ROYAL ALLIANCE ASSOCIATES, INC., June 2021 - Present

Board of Trustees Vice Chairman - GOODWILL OF LORAIN COUNTY, - May 2019 - Present

Board Vice President - BLUESTONE CLUSTER ASSOCIATION, INC. - February 2019 - Present

Owner - RCM Equities, LLC - August 2017 - August 2019 (No longer Active)

Owner - 830 S Washington Ave LLC - August 2017 - August 2019 (No longer Active)

Investment Advisor Representative, HARRINGTON ASSET MANAGEMENT, INC., May 2016 - Present

Registered Representative, ROYAL ALLIANCE ASSOCIATES, INC, February 2016 - Present

Managing Partner & Financial Advisor, STRATA FINANCIAL GROUP, LLC, January 2016 - Present

Please note that registered representative and insurance agent activities are reviewed and supervised by Royal Alliance Associates. This review includes transactions that you may conduct in your accounts based on specific recommendations to purchase products and/or services made by your registered representative.

With respect to certain other business activities unrelated to registered representative or

certain insurance agent activities that your financial advisor may participate in, these activities are reviewed, and when appropriate approved in accordance with industry rules. While the firm may initially review these other business activities, these activities are not associated or in any way related to activity conducted by Royal Alliance Associates. Therefore, Royal Alliance Associates will not be responsible with respect to any recommendation or determination as to the suitability of your choice to participate in such activities. These other business activities may present certain conflicts of interest that you should be aware of and consider before participating in such activities. Please ask your financial advisor for further information.

### **ADDITIONAL COMPENSATION**

As discussed previously above, your advisor is a registered representative and may also be an insurance agent. In addition to the receipt of advisory fees, traditional commissions and ongoing 12b-1 fees, Royal Alliance Associates may pay bonuses based on a registered representative's overall product and/or service sales, including with respect to advisory business, conduct sales incentive contests or provide marketing payments to its financial advisors to the extent permitted under applicable law. As a result, these arrangements may create a conflict of interest. While Royal Alliance Associates and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Financial advisors may receive compensation from someone other than a client for providing investment advice or other advisory services to clients by referring clients to other investment advisers. As such, there may be potential conflicts of interests with these arrangements, including situations where the compensation paid to the firm or the financial advisor differs based on the particular third-party adviser. Therefore, financial advisors may have an economic incentive to recommend one third-party adviser over another. Additionally, certain third-party advisers may provide reimbursements to financial advisors as an offset for marketing and seminar materials for the advisory products and services offered. These situations may also create conflicts of interest that you should carefully consider.

### **SUPERVISION**

Royal Alliance Associates supervises the investment advisory services provided by its financial advisors through a variety of methods, including a review by a licensed principal prior to a client's enrollment in any investment advisory service or prior to any new account opening. This review is designed to ensure that the products and services offered and recommended to clients are appropriate based on the particular client's situation. Additionally, the Firm conducts periodic ongoing supervision related to its investment advisory services. These efforts, which vary in frequency, include review based on a number of different factors, including but not limited to specific account

activity and changes in a client's financial situation or investment objectives.

The individual responsible for supervising MITCHELL A ROMEO is Thomas Kirby Harrington, OSJ Manager. Thomas Kirby Harrington may be reached at 614-798-1345.