

# Brochure Supplement

May 18, 2023

## Andrea A. Romero

2800 Veterans Memorial Blvd., Ste. 220  
Metairie, LA 70002

(504) 321-0923

This Brochure Supplement provides information about Andrea A. Romero that supplements the Disclosure Brochure of Second Line Capital, LLC (hereinafter "SLC"), a copy of which you should have received. Please contact SLC's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Andrea A. Romero is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Second Line Capital, LLC, a Registered Investment Adviser**

2800 Veterans Memorial Boulevard, Suite 220, Metairie, LA 70002 | (504) 321-0923

### Item 2. Educational Background and Business Experience

Born 1970

#### Post-Secondary Education

Georgetown University | B.A., Theology | 1992

#### Recent Business Background

Second Line Capital, LLC | Investment Adviser Representative | May 2023 – Present

LPL Financial, LLC | Registered Representative | April 2020 – Present

Advisor Resource Council | Investment Adviser Representative | May 2020 – May 2023

Edward Jones | Financial Advisor | October 2014 – March 2020

### Item 3. Disciplinary Information

SLC is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Andrea A. Romero. SLC has no information to disclose in relation to this Item.

### Item 4. Other Business Activities

SLC is required to disclose information regarding any investment-related business or occupation in which Andrea A. Romero is actively engaged.

#### Registered Representative of a Broker-Dealer

Andrea A. Romero is a registered representative of LPL Financial (“LPL”), an SEC registered broker-dealer and member of FINRA. In this capacity, Andrea A. Romero may provide securities brokerage services and implement securities transactions under a commission based arrangement. Andrea A. Romero may be entitled to a portion of the brokerage commissions paid to LPL, as well as a share of any ongoing distribution or service (“trail”) fees from the sale of mutual funds.

A conflict of interest exists to the extent that Andrea A. Romero recommends the purchase of securities where he receives commissions or other additional compensation as a result. This practice may give him an incentive to recommend investment products based on compensation received rather than on the client's needs. SLC has procedures in place to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned. For certain accounts covered by ERISA (and such others that the firm deems appropriate), SLC provides investment advisory services on a fee offset

basis, whereby the firm reduces its fee by an amount equal to the aggregate commissions and 12b-1 fees earned by Andrea A. Romero in his individual capacity as a registered representative of *LPL*.

### **Licensed Insurance Agent**

Andrea A. Romero is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that SLC recommends the purchase of insurance products where Andrea A. Romero receives insurance commissions or other additional compensation. SLC seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

### **Item 5. Additional Compensation**

SLC is required to disclose information regarding any arrangement under which Andrea A. Romero receives an economic benefit from someone other than a client for providing investment advisory services. SLC has no information to disclose in relation to this Item.

### **Item 6. Supervision**

Peter David Soliman, President, CCO, and Chairman, is generally responsible for supervising Andrea A. Romero's advisory activities on behalf of SLC. Peter David Soliman can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

SLC supervises its personnel and the investments made in client accounts. SLC monitors the investments recommended by Andrea A. Romero to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. SLC periodically reviews the advisory activities of Andrea A. Romero, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Andrea A. Romero.