

1 CLOTHILDE V. HEWLETT  
Commissioner  
2 MARY ANN SMITH  
Deputy Commissioner  
3 DANIEL P. O'DONNELL  
Assistant Chief Counsel  
4 RYAN CASSIDY (State Bar No. 340274)  
5 Counsel  
6 Department of Financial Protection and Innovation  
2101 Arena Boulevard  
7 Sacramento, CA 95834  
8 Telephone: (916) 764-8358  
Attorneys for Complainant

9  
10 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION  
OF THE STATE OF CALIFORNIA

11 In the Matter of:

12 THE COMMISSIONER OF FINANCIAL  
13 PROTECTION AND INNOVATION,

14 Complainant,

15 v.

16 ZERA FINANCIAL LLC, a California limited  
liability company, and LUIS A. ROMERO, an  
17 individual,

18 Respondents.

ORDER BARRING LUIS A. ROMERO FROM  
ANY POSITION OF EMPLOYMENT,  
MANAGEMENT, OR CONTROL OF  
INVESTMENT ADVISER, BROKER-DEALER,  
OR COMMODITY ADVISER, PURSUANT TO  
CORPORATIONS CODE 25232.1.

19 Pursuant to the Consent Order entered into between Zera Financial LLC and Luis A. Romero  
20 and the Commissioner of Financial Protection and Innovation on November \_\_, 2023; Luis A.  
21 Romero is hereby barred from any from any position of employment, management, or control of any  
22 investment adviser, broker-dealer, or commodity adviser, effective this date.

23 Dated: November 21, 2023  
24 Sacramento, California

CLOTHILDE V. HEWLETT  
Commissioner  
Department of Financial Protection and Innovation



25  
26 By \_\_\_\_\_  
27 MARY ANN SMITH  
28 Deputy Commissioner  
Enforcement Division