UNITED STATES OF AMERICA Before the COMMODITY FUTURES TRADING COMMISSION

In the Matter of:

ANGEL ANTONIO ROMERO

Registrant.

Docket No. SD 96-8

FILED # '93

DEFAULT ORDER REVOKING REGISTRATION

On April 2, 1997, the Division of Enforcement filed a motion requesting that the ALJ (1) enter its proposed findings as findings of fact and conclusions of law; (2) enter a default order against the registrant; (3) enter an order statutorily disqualifying the registrant from registration with the Commission pursuant to Sections 8a(2)(D), 8a(2)(G), and 8a(3)(M) of the Commodity Exchange Act ("Act") as amended, 7 U.S.C. §§ 12a(2)(D), 12a(2)(G), and 12a(3)(M); and (4) enter an order revoking the registration of the registrant as an associated person.

Procedural History

On August 6, 1996, the Commission filed a Notice Of Intent To Suspend And Thereafter Revoke Registration As An Associated Person ("Notice") against Angel Antonio Romero ("Romero").

The Office of Proceedings served the Notice on Romero at his three last known addresses via certified mail, return receipt requested. All three copies of the Notices were returned to the Office of Proceedings as undeliverable, with notations indicating that Romero no longer lived at any of the addresses. On January

14, 1997, the Division moved to re-serve the Notice on Romero and his sponsor, Dean Witter Reynolds, Inc. The ALJ granted this motion and on January 16, 1997, the Notice was re-served on Romero and Dean Witter Reynolds, Inc. Again, the Office of Proceedings did not receive any response from Romero, and on April 3, 1997, Dean Witter Reynolds, Inc. filed a letter with the Office of Proceedings advising that Romero had not been employed by Dean Witter since July 31, 1990.

Findings of Fact

- 1. Angel Antonio Romero has been registered with the Commission as an associated person of Dean Witter Reynolds, Inc. since May 1, 1990. His last known address is 219-04 141th Street, Apartment D, Laurelton, New York 11413. His last known business address is 67 Wall Street, Suite 2411, New York, New York, 10005. The address on his Form 8-R is 2101 Chestnut Street, Philadelphia, Pennsylvania 19103.
- 2. In July 1993 Romero pled guilty in the United States
 District Court for the Eastern District of Pennsylvania to one
 count of bank fraud, a Class B felony (18 U.S.C. § 3559(a)(2)), and
 one count of engaging in a monetary transaction in property derived
 from specified unlawful activity, a Class D felony (18 U.S.C. §
 3559(a)(4)). United States v. Angel Antonio Romero (a/k/a Adam
 Murphy, a/k/a A. Donald Murphy, a/k/a A. Donald Murphy, Attorney at
 Law), No. 2:92CR00626-1 (E.D.Pa. July 1993). Romero was sentenced

Law), No. 2:92CR00626-1 (E.D.Pa. July 1993). Romero was sentenced to 33 months imprisonment on the two counts to which he pled guilty, with the sentences to run concurrently, and was ordered to pay restitution of \$63,827.15 and an assessment of \$300.00. In addition, upon his release from imprisonment, the court sentenced Romero to supervised release for 5 years.

- 3. Romero failed to state the material fact of his conviction in a supplement to Form 8-R as required in Commission Regulation 3.31(b), 17 C.F.R. § 3.31(b).
- 4. Romero failed to make an appearance, file a response to the Notice, or otherwise defend this action.

Conclusions of Law

Based upon the findings set forth above, and pursuant to 8a(2)(D), 8a(2)(G) and 8a(3)(M) of the Act, 7 U.S.C. §§ 12a(2)(D), 12a(2)(G) and 12a(3)(M), registrant Romero is in default of the Notice Of Intent To Suspend And Thereafter Revoke Registration As An Associated Person, and he is statutorily disqualified from registering with this Commission in any capacity.

ORDER

Registrant Romero's registration with this Commission is REVOKED and he is statutorily disqualified from registration in any capacity effective the date this Order becomes final.

SO ORDERED.

Issued April 10, 1997

George H. Painter Administrative Law Judge