

## Candidate Profile Form—SFAC Election *(this page will be displayed on finra.org)*

Candidate Name: **Steven Trigili**

Title: Chief Compliance Officer

Firm: Garden State Securities, Inc.

### Candidate Biography and Personal Statement *(500 word limit)*

My name is Steven Trigili, and I am honored to seek your vote for the Small Firm Advisory Committee.

After completing a six-year tenure as a Small Firm Representative on the FINRA Regional Committee, I am eager to continue my service by providing direct feedback to senior staff and leadership at FINRA on the critical issues facing small firms today. With over 30 years of experience working with small firms—since 1992—I have a deep understanding of the unique challenges and opportunities in our industry.

Currently, I serve as the Chief Compliance Officer and Anti-Money Laundering Compliance Officer for Garden State Securities, Inc., a dually registered broker-dealer and investment advisor headquartered in Red Bank, New Jersey. In this role, I manage all aspects of the firm's compliance program and am committed to fostering a strong culture of compliance across the organization. My position also requires me to navigate a complex regulatory landscape that spans multiple jurisdictions, agencies, and self-regulatory organizations.

Beyond my role as Compliance Officer, I am deeply involved in industry education. I regularly speak at national conferences, webinars, and panels, sharing insights on compliance and regulatory trends. For FINRA, I have presented at the Annual Conference and the North Regional Member Forum and most recently served as a panelist at the FINRA Virtual Conference on Supervision of High-Risk Activities. You can access the recording of that panel here: <https://www.finra.org/events-training/virtual-conference-panels/supervision-high-risk-activities>.

Since 2005, I have been a frequent speaker at major industry events, including those hosted by NRS, NSCP, Regulatory Compliance Watch, and ACAMS. I cover topics such as maintaining a robust compliance program for small firms, regulatory trends in examinations, Chief Compliance Officer liability, and the evolving requirements of Regulation Best Interest.

Throughout my career, I have witnessed significant changes in the regulatory environment. As CCO, I am hands-on in managing day-to-day compliance operations and am consistently working to stay ahead of regulatory developments. My comprehensive understanding of compliance for dually registered firms allows me to offer a unique and informed perspective.

I am ACAMS-certified since 2010 and hold the Series 7, 24, 55, 63, 65, and 79 licenses. Additionally, I teach as an adjunct professor at both graduate and undergraduate levels in business, finance, and management at Georgian Court University, Ocean County College, Northern State University, and Southern New Hampshire University.

Born and raised on the Jersey Shore, I understand the values and hard work that go into supporting our families and communities. By volunteering my time to the Small Firm Advisory Committee, I am committed to bringing a fresh, practical perspective to the challenging regulatory environment we all navigate daily. I respectfully ask for your vote and the opportunity to serve our industry and community in this critical role.

### Optional Links:

Link to personal website, resume or CV: <https://www.linkedin.com/in/stevetrigili/>

Link to YouTube video: