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

Candidate Name: **MAURIZIO MANZATI**

Title: CHIEF EXECUTIVE OFFICER & CHIEF COMPLIANCE OFFICE Firm: GOLDEN EAGLE SECURITIES, INC.

Candidate Biography and Personal Statement (*3,000 character limit - approximately 500 words*)

I am honored to submit my candidacy for the FINRA Small Firm Advisory Committee. With over three decades of experience in international finance, investment banking, and asset management, I have devoted my career to advancing the highest standards of professionalism, compliance, and investor protection across multiple jurisdictions.

As President of Golden Eagle Capital Advisors Inc. and CEO/CCO of Golden Eagle Securities Inc., a FINRA-member broker-dealer, I have worked extensively at the intersection of U.S. and global capital markets. My responsibilities include structuring cross-border transactions, guiding issuers through complex regulatory frameworks, and ensuring that our firm operates with full transparency and adherence to FINRA and SEC requirements. I also oversee Emintad FZ LLC, a UAE-based financial advisory firm supporting asset managers and small financial entities with back-office services.

This multi-jurisdictional leadership has given me a deep appreciation for FINRA's mission of protecting investors and ensuring fair, transparent markets. I am particularly committed to helping small and mid-sized broker-dealers navigate evolving compliance challenges, fostering best practices in supervision, AML/CFT, and new rule implementations such as Rule 15c2-11 amendments.

I believe that my background—bridging U.S., European, and Middle Eastern financial markets—will bring a valuable perspective to the Small Firm Advisory Committee. I intend to contribute actively to discussions on regulatory developments, market integrity, and effective industry engagement, ensuring that the voice of the New York broker-dealer community is well represented.

Above all, I view service on the FINRA Small Firm Advisory Committee as an opportunity to give back to the regulatory community, collaborate with peers, and help strengthen the culture of compliance that underpins investor confidence in our markets.

I respectfully request your support for my candidacy and welcome the opportunity to contribute my experience and dedication to the FINRA Small Firm Advisory Committee.

Optional Link:

LinkedIn profile: