

# The Full 360° Compliance View Washington DC 2020



## **Steven Trigili**

**Chief Compliance Officer, AMLCO of Garden State Securities, Inc.  
& Garden State Investment Advisory Services, LLC**

Steven D. Trigili, MBA, CAMS is the Chief Compliance Officer and AMLCO of Garden State Securities, Inc., and Garden State Investment Advisory Services, LLC an independent broker/dealer and SEC-registered investment advisor. Steve has 28 years of experience in financial services - in executive management, compliance, and as a financial adviser. Steve is responsible for the oversight of all regulatory matters, risk assessments, compliance testing, and AML policies and procedures within the firm. He is a member of the firm's Executive Management Team, heads the firm's Risk Committee, and is presently serving a three-year term as the Small Firm Representative to the FINRA North Region District Committee. A recurring speaker and panelist at national industry conferences and webinars for over 15 years, Steve also provides independent consulting and expert witness services for securities arbitrations and litigation matters.

Steve holds his Series 7, 24, 55, 63, 65 and 79, is an adjunct professor at Southern New Hampshire University Graduate School of Business and Bloomfield College, and serves on the Editorial Board of the Journal of Financial Compliance. He is a member of the National Society of Compliance Professionals, the Association of Certified Fraud Examiners, the Society of Corporate Compliance and Ethics, and the Association of Certified Anti-Money Laundering Specialists.