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

Candidate Name: **Vincent Iannuzzi**

Title: CEO

Firm: Beech Hill Securities, Inc.

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

Re-Election Statement – FINRA NY Regional Committee

I am seeking re-election for a second term on the FINRA New York Regional Committee. Serving on this committee has been an honor, and I hold deep respect for its mission and the vital role it plays in our industry. Throughout my tenure, I've remained an active and vocal participant—sharing my views candidly, whether in agreement or disagreement—with both FINRA and fellow committee members. My goal has always been to contribute meaningfully and advocate for the collective interests of our industry.

I am the CEO and principal owner of Beech Hill Securities, Inc., a full-service independent broker-dealer. I entered the industry at the age of 18 thus dedicated my entire adult life to this profession and care deeply about its continued success. I believe that success is rooted in practical, effective compliance programs—free from unnecessary barriers to achieve the best interest of capital creation and investor protection.

With nearly 30 years of experience, I've witnessed countless market cycles and regulatory shifts. As a small firm representative, I understand the importance of thoughtful decision-making and the challenges of implementing productive compliance programs.

My experience spans nearly every facet of our business:
Operations/ Manager for a retail branch (Large Firm)
Institutional Equity Trading & Market Making (Large Firm/Clearing)
T+1 Processing & Settlement Manager for equity trading (Large Firm/Clearing)
Software Design & Co-Development of proprietary trading and compliance software (Large Firm/Clearing)
Executive Leadership as CFO, CTO, COO, and FINOP for Beech Hill (Small Firm)
Business Development across multiple lines including Investment Banking and Structured Products (Institutional Only)
Experience with '40 Act Entities including RIAs, hedge funds, and open-end mutual funds

I hold a degree in Accounting from Baruch College's Zicklin School of Business and am a Certified Public Accountant (CPA), registered in New Jersey and active in New York. My licenses include Series 7, 9, 10, 14, 24, 27, 57, 63, and 79.

I look forward to the opportunity to continue serving and contributing to the committees important work.

Optional Link:

LinkedIn Profile: **https://www.linkedin.com/in/vincent-iannuzzi-b237197/**