

BrokerCheck Report

GOLDEN EAGLE SECURITIES, INC.

CRD# 19586

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



GOLDEN EAGLE SECURITIES, INC.

CRD# 19586

SEC# 8-37788

Main Office Location

845 UNITED NATIONS PLAZA
SUITE 19F
NEW YORK, NY 10017
Regulated by FINRA New York Office

Mailing Address

845 UNITED NATIONS PLAZA
SUITE 19F
NEW YORK, NY 10017

Business Telephone Number

929-231-0427

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 03/17/1987.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 4 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3
Arbitration	2



Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 03/17/1987.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

GOLDEN EAGLE SECURITIES, INC.

Doing business as GOLDEN EAGLE SECURITIES, INC.

CRD# 19586

SEC# 8-37788

Main Office Location

845 UNITED NATIONS PLAZA
SUITE 19F
NEW YORK, NY 10017

Regulated by FINRA New York Office

Mailing Address

845 UNITED NATIONS PLAZA
SUITE 19F
NEW YORK, NY 10017

Business Telephone Number

929-231-0427



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): GOLDEN EAGLE CAPITAL ADVISORS, INC.

173811

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SHAREHOLDER

Position Start Date 06/2022

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MANZATI, MAURIZIO

6485138

Is this a domestic or foreign entity or an individual? Individual

Position CEO/CCO/POO

Position Start Date 06/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SAMSON, EDWARD GREGORY

2041321

Is this a domestic or foreign entity or an individual? Individual

Position FINOP/PFO

Firm Profile



Direct Owners and Executive Officers (continued)

Position Start Date	02/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	MANZATI, MAURIZIO 6485138
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	GOLDEN EAGLE CAPITAL ADVISORS, INC.
Relationship to Direct Owner	OWNER
Relationship Established	07/2014
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 4 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/05/1987

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	06/29/1987

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Colorado	Approved	06/02/1994
Florida	Approved	06/30/1987
Michigan	Termination Requested	12/31/2020
New York	Approved	06/26/2023

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 1 type of business.

Types of Business

Private placements of securities



Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

EMINTAD FZ LLC is under common control with the firm.

Business Address:	AURORA TOWER, 13TH FLOOR, OFFICE 1307 DUBAI, UNITED ARAB EMIRATES 53867
Effective Date:	06/05/2023
Foreign Entity:	Yes
Country:	UAE
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	GOLDEN EAGLE SECURITIES AND EMINTAD FZ LLC ARE UNDER COMMON CONTROL VIA OWNERSHIP BY MAURIZIO MANZATI.

GOLDEN EAGLE CAPITAL ADVISORS, INC. controls the firm.

CRD #:	173811
Business Address:	AURORA TOWER OFFICE 1307 DUBAI, UNITED ARAB EMIRATES 53867
Effective Date:	06/15/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	GOLDEN EAGLE SECURITIES, INC. IS CONTROLLED BY GOLDEN EAGLE CAPITAL ADVISORS, INC. VIA OWNERSHIP BY MAURIZIO MANZATI.

Firm Operations



Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0
Arbitration	N/A	2	N/A



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source: Regulator

Current Status: Final



Allegations:	SEC RULES 15C3-1, 17A-3, 17A-5, NASD RULES 1120(B), 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT MEMBER CONSENTED TO THE ENTRY OF FINDINGS THAT, ACTING THROUGH AN INDIVIDUAL, FAILED TO CONDUCT AN ANNUAL NEEDS ANALYSIS AND PREPARE A TRAINING PLAN TO COMPLY WITH THE FIRM NEED OF THE CONTINUING EDUCATION PROGRAM FOR TWO YEARS; ACTING THROUGH AN INDIVIDUAL, FAILED TO CAUSE AN ASSESSED FEES LIABILITY IN AN ARBITRATION CLAIM TO BE REFLECTED ON THE FIRM'S BOOKS AND RECORDS; ACTING THROUGH AN INDIVIDUAL, CAUSED MATERIALLY INACCURATE FOCUS REPORTS TO BE FILED FOR TWO QUARTERS; ACTING THROUGH AN INDIVIDUAL, FILED ITS ANNUAL AUDITED REPORT FOR ONE YEAR LATE; AND, ACTING THROUGH AN INDIVIDUAL, CONDUCTED A SECURITIES BUSINESS WITHOUT MAINTAINING REQUIRED MINIMUM NET CAPITAL.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	11/25/2002
Docket/Case Number:	C07020096
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/25/2002
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CENSURED
<hr/>	
Reporting Source:	Firm
Current Status:	Final
Allegations:	FAILED TO CONDUCT ANNUAL NEEDS ANALYSIS AND PREPARE A TRAINING PLAN FOR 1999 AND 2000 FAILED TO CAUSE ARBITRATION FEE LIABILITY TO BE REFECTED ON THE BOOKS AND RECORDS OF THE FIRM FROM AUGUST 2001 TO OCTOBER 2002



AS A RESULT OF THE FOREMENTIONED CAUSED MATERIALY INACCURATE
 FOCUS REPORTS TO BE FILED FOR QUARTERS ENDING 3.31.02 AND
 6.30.02
 FILED ANNUAL AUDITED REPORT FOR PERIOD ENDED 12.31.01 41 DAYS
 LATE
 CONDUCTED A SECURITIES BUSINESS WITHOUT MAINTAINING REQUIRED
 MINIMUM NET CAPITAL ON 4.26.02 AND 4.30.02

Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALES
Date Initiated:	11/25/2002
Docket/Case Number:	C07020096
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/25/2002
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CENSURE ONLY
Firm Statement	CENSURE ONLY PENDING NOTIFICATION BY CRD/PUBLIC DISCLOSURE

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	MEMBER FIRM FAILED TO PAY FEES ASSESSED IN CONNECTION WITH AN NASD ARBITRATION CASE #01-03909.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	10/03/2002
Docket/Case Number:	DFC020014
Principal Product Type:	No Product

**Other Product Type(s):**

Principal Sanction(s)/Relief Sought: Suspension

Other Sanction(s)/Relief Sought:

Resolution: Decision

Resolution Date: 10/03/2002

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: RESPONDENT'S NASD REGISTRATION SUSPENDED EFFECTIVE AS OF 10/03/02 PURSUANT TO RULE 9533, UNTIL RESPONDENT PROVIDES PROOF OF COMPLIANCE.

Regulator Statement *****SUSPENSION LIFTED*** THE HEARING OFFICER FINDS THAT THE NASD FINANCE DEPARTMENT HAS AGREED TO AN INSTALLMENT PAYMENT FOR THE FEES THE RESPONDENT OWES

Reporting Source: Firm

Current Status: Final

Allegations: MEMBER FIRM FAILED TO PAY FEES ASSESSED IN CONECTION WITH AN NASD ARBITRATION

Initiated By: NASD

Date Initiated: 10/03/2002

Docket/Case Number: 01-03909/DCF020014

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Suspension

Other Sanction(s)/Relief Sought:

Resolution: Other

Resolution Date: 10/11/2002

Sanctions Ordered: Suspension

**Other Sanctions Ordered:**

Sanction Details: APPLICANT WAS SUSPENDED FROM OCTOBER 3, 2002 TO OCTOBER 11, 2002 PER HEARING OFFICER.

Firm Statement ON OCTOBER 11, 2002 THE HEARING OFFICER TERMINATED THE SUSPENSION WHEREBY RESPONDENT AGREED TO PAY \$674 BY OCTOBER 19, 2002 AND \$674 BY NOVEMBER 15, 2002. RESPONDENT COMPLETED THE PAYMENTS ON A TIMELY BASIS.

Disclosure 3 of 3

Reporting Source: Regulator

Current Status: Final

Allegations: FAILURE TO REMIT ASSESSMENT FEE

Initiated By: CALIFORNIA DEPARTMENT OF CORPORATIONS

Date Initiated: 08/20/2001

Docket/Case Number:

URL for Regulatory Action:

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Revocation

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 08/20/2001

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: BROKER-DEALER CERTIFICATE SUMMARILY REVOKED FOR NON-PAYMENT OF ASSESSMENT FEE.

Reporting Source: Firm

Current Status: Final



Appealed To and Date Appeal Filed:	N/A
Allegations:	NON-PAYMENT OF FEES
Initiated By:	CALIFORNIA DEPARTMENT OF CORPORATIONS
Date Initiated:	08/20/2000
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	N/A
Principal Sanction(s)/Relief Sought:	Revocation
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	11/08/2001
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	N/A
Sanction Details:	REVOCATION
Firm Statement	APPLICANT NO LONGER DOES BUSINESS IN CALIFORNIA.



Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.

The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-TRANSFER; EXECUTIONS-FAILURE TO EXECUTE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	01/01/1987
Case Number:	87-00914
Disputed Product Type:	COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE
Sum of All Relief Requested:	\$32,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	03/23/1990
Sum of All Relief Awarded:	\$21,522.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 2 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; EXECUTIONS-FAILURE TO EXECUTE; NO OTHER CONTROVERSY INVOLVED
Arbitration Forum:	NASD
Case Initiated:	01/01/1987
Case Number:	87-01707



Disputed Product Type: COMMON STOCK; NO OTHER TYPE OF SEC INVOLVE

Sum of All Relief Requested: \$300,159.00

Disposition: AWARD AGAINST PARTY

Disposition Date: 07/27/1989

Sum of All Relief Awarded: \$67,000.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

End of Report



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