

**VOTE**  
**LINDE MURPHY**  
**BOARD OF GOVERNORS**  
**SMALL FIRM SEAT**



As a veteran of the investment industry since 1999, I know the challenges small firms deal with every day:

- ◆ **Overwhelming regulatory burdens**
- ◆ **Never ending increase in regulatory fees**
- ◆ **Rising costs and shrinking margins**
- ◆ **Too many rules that don't fit small firms**
- ◆ **And More!**

The amount of workflow small firms manage is daunting. We need relief, not just lip service. I vow to fight for our small firm issues and regulatory relief. We need industry veterans like me who have boots on the ground experience to bring financial service expertise to the board room, a board room with a majority of public governors. I vow to fight for you as your Small Firm Seat Representative on the FINRA Board of Governors.

Contact me at [LMurphy@MEAllison.com](mailto:LMurphy@MEAllison.com) or **210-264-6297** with any questions or concerns.

***Let your voice be heard!***

**VOTE for LINDE MURPHY**

# BIO

**Linde Murphy** is the Chief Compliance Officer for M.E. Allison & Co., Inc., a full-service broker-dealer and Texas Registered Investment Adviser. Founded in 1946, the firm also provides municipalities with advisory and underwriting services. In Ms. Murphy's role, she implements and tests M.E. Allison's compliance control, supervisory functions and WSPs, audit, 1017/CMA acquisitions, disclosure and training solutions, and more for the BD/IA and associated persons.

Since beginning her investment career in 1999, Ms. Murphy has worked for small firms for the majority of her career. She has sales, compliance, business development, strategy and operational executive-level expertise. In addition to the Series 4, 7, 24, 27, 50, 53, 63, 65 licensing, Ms. Murphy graduated from the FINRA Institute at Wharton, resulting in her earning the CRCPTM designation, thanks to having been awarded the FINRA Small Firm Scholarship. Ms. Murphy graduated with honors from American University in Washington, D.C

Ms. Murphy is currently serving a 3-year term on the FINRA Small Firm Advisory Committee and is the 2019 elected Chair. In 2016, Ms. Murphy was elected to a 3-year term on the FINRA District 6 Committee, has served with distinction on the FINRA Fixed Income Committee and the FINRA Regulatory Advisory Committee. Ms. Murphy has been an active participant in the industry-led effort to obtain small non-custodial firm relief from the PCAOB audit requirements, is a highly sought-after public speaker and regularly speaks at FINRA conferences, district events, and industry association events.

Identifying a need for networking and sharing of knowledge, Ms. Murphy formed a Round Table Group for clearing firm correspondents to address common concerns and share best practices. She serves on the board of Texas Women in Public Finance, is a member of the San Antonio Chamber of Commerce where she was selected for Executive Leadership for the Leadership San Antonio program, is a founding member of the soon-to-be-launched National Association of Small Broker-Dealers, and is active in industry groups, including the Texas Wall Street Women. Ms. Murphy has been recognized by past employer as a Hard Charger for exceeding goals. Ms. Murphy has extensive board experience, including KLRN (the San Antonio affiliate of Public Broadcasting Service), San Antonio Botanical Garden, and Texas Women in Public Finance. Ms. Murphy works on committees for local nonprofits including Las Casas Foundation supporting youth in theater arts, ArtPace, events benefiting Make A Wish and education causes.

This campaign material represents the opinion of the candidate.