

Linde Murphy
Chief Compliance Officer
M.E. Allison & Co., Inc.
Small Firm Seat Petitioner, FINRA Board of Governors 2019
Election



As a veteran of the investment industry since 1999, I am familiar with the challenges small firms face when dealing with multiple regulators, increased competition, rising costs, and shrinking margins.

The amount of workflow small firms manage is daunting and having a clear path to not only express concerns to regulators but to explain the boots on the ground challenges, while petitioning for relief, is imperative. I vow to be this direct conduit, if elected, as your Small Firm Seat Representative on the FINRA Board of Governors.

I started in the industry on an equity trading desk in Chicago. I've held positions in compliance, management, sales, operations and business development. My licenses include Series 4, 7, 24, 27, 50, 53, 63, 65, 79 & Insurance.

I've worked at small firms for the majority of my career and fully understand how small firm employees carry a heavy load of ever-changing regulatory obligations. Our calendars are full of compliance reminders, deadlines, unending regulatory exams and inquiries from multiple agencies/SRO's, (etc.) all while we attempt to balance work, family, and community involvement.

In 2014, I attended the FINRA Institute at Wharton Certified Regulatory and Compliance Professionals (CRCP™). I've spoken at conferences around the country on topics including supervision, anti-money laundering, fixed income markets, senior investors, the CMA process, exam challenges and suitability.

I currently chair the Small Firm Advisory Committee. I've served on the District 6 Committee, where I successfully petitioned for limitations on viewing personal information by former employers and fought for updating registration rules to end "use it or lose it". My membership on the Regulatory Advisory Committee and the Fixed Income Committee provided valuable experience on rule formation and the importance of clearly explaining how potential rules negatively impact small firms' abilities to service clients.

Small firms are shutting down every week due to an overburdening regulatory environment and this needs to change. If elected, I will fight for you! Small firms matter and it is vital that we have some regulatory relief NOW!

Please feel free to call me directly. You can reach me at lmurphy@meallison.com or 210-264-6297 with any questions or concerns. Let your voice be heard!

PLEASE SIGN MY PETITION SO I CAN GET MY NAME ON THE BALLOT.
THANK YOU!

PETITION FOR NOMINATION

Financial Industry and Regulatory Authority, Inc. (FINRA) 2019 Board of Governors Small Firms Seat, in accordance with applicable By-Laws of FINRA.

I hereby certify that I am an Executive Representative of a FINRA Small Member Firm (150 representatives or less) and as such I am eligible to cast one vote for a candidate for the Small Firms Seat on the FINRA Board of Governors.

I hereby nominate, for a three-year term, the following candidate, whose name is to be placed on the ballot for election to the FINRA Board of Governors Small Firm Seat.

FINRA Board of Governors Small Firm Candidate:

Linde Murphy, M.E. Allison & Co., Inc. 3 year term

Direct Phone: 210-264-6297

Email: Lmurphy@meallison.com

Print FINRA Member Firm

Date

CRD Number

Print Name of Executive Representative

Signature of Executive Representative

Please DocuSign or sign and fax or scan & email to:

Fax: 210-930-4001

Email: Lmurphy@meallison.com