

SFAB South Region Seat Candidates

- Peter Korotkiy President and COO, TradeStation Securities, Inc. (Plantation, FL)
- David Jaindl Martin Chief Executive Officer, American Global Wealth (McDonough, GA)
- David D. McNally President, McNally Financial Services, Corp (San Antonio, TX)
- Linde Murphy COO and CCO, M.E. Allison & Co., Inc. (San Antonio, TX)

Candidate Profile Form—SFAB Election

Candidate Name:

Title:

Firm:

Candidate Biography and Personal Statement

Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

Provide a brief biography or summary of your qualifications to serve as an SFAB member. You may want to consider including your employment experience, service on other industry-related boards and committees, etc. (No more than 250 words)

David Martin has over ten years of diverse experience in the securities industry. Currently as the CEO of American Global Wealth Management David oversees the day to day operations, staff, business development and the retail salesforce. During his tenure as a Consultant with Monahan & Roth, David has provided direct support in the formation, registration, operations, AML and testing of various Investment Advisors and Broker Dealers. David joined Keystone Capital Corporation in 2006 as a registered representative and was most recently the CEO and CCO.

During his tenure at Keystone Capital Corporation David oversaw the retail and investment banking teams and maintained a book of clients.

David is currently a District 2 Committee member representing small firms. Outside of the workplace David is an avid golfer, sailor, Advanced PADI Certified Diver and Licensed Pilot.

Provide a statement of why you are running for an SFAB seat and why firms should vote for you to represent them on the SFAB. (No more than 250 words)

The SFAB is the premier platform for the voice of small firms to be heard. David has spent his entire career working with, owning and advocating for small firms. David brings a high level of energy and passion for regulatory issues essential for the survival of small firms nationwide. The majority of FINRA Member Firms fall in the small firm category. David's collaborative approach will provide small firm executives with an open mind to listen to your concerns and deliver those concerns to FINRA in a respectful and productive manner. Keep your small firm alive, elect David Martin to represent the South Region on the FINRA Small Firm Advisory Board.

Return the form by fax to: (202) 728.8075 or by email to: CorporateSecretary@finra.org

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As Chief Operating Officer and Chief Compliance Officer for M.E. Allison & Co., Inc., I am familiar with the challenges small firms face when dealing with multiple regulators, increased competition, rising costs, and shrinking margins.

The amount of information 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 as your South Region Small Firm Advisory Board Representative.

After entering this business in 1999 on a trading desk in Chicago, I've held positions in compliance, sales, business development and management. 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 demands. Our calendars are full of compliance reminders and deadlines while we balance work and family demands, not to mention community involvement.

In 2014, I attended the FINRA Institute at Wharton Certified Regulatory and Compliance Professionals (CRCPTM). Since then I've spoken at conferences around the country on topics including supervision, anti-money laundering, fixed income markets, and suitability.

As a member of the District 6 Committee, I've successfully petitioned for limitations on viewing your personal information by former employers and for updating registration rules to encourage diversity.

My participation 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 have unintended consequences on the ability of small firms to service their clients.

Small firms are disappearing every day due to an overburdening regulatory environment without clear and concise guidance. This needs to change. If elected, I will explain the challenges that small firms face and work diligently so that regulations will be tailored to take into account the potential ripple effects. In return, I vow to deliver a clear message to small firms regarding best practice expectations so we can focus on the business of serving our clients and improving the quality of our business.

You can reach me directly at lmurphy@meallison.com or 210-581-0439 with any questions or concerns.

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Link to YouTube video: