

### **District 6 – South Region Candidates**

- Melinda ("Mimi") G. LeGaye, President and CCO, Moody Securities, LLC
- John R. Muschalek, Chief Administrative Officer, Hilltop Securities Inc.

## Candidate Profile Form—Regional Committee Election

Candidate Name: Melinda (Mimi) G. LeGaye

Title: President and CCO

Firm: 148771

### Candidate Biography and Personal Statement

Melinda (Mimi) G. LeGaye, serves as President and CCO of Moody Securities, LLC, as well as President and founder of MGL Consulting, LLC. Mimi has 35 plus years' experience representing the interests of small broker-dealers having held the positions of president, CCO and FINOP for several small broker-dealers over the years. In addition to serving as President and CCO of Moody Securities, LLC, she also serves as FINOP and a registered principal for RCX Capital Group, LLC.

Prior to originally forming MGL in 1984, Mimi served as CCO of Horne Securities Corp. a small broker/dealer which was formed to distribute real estate private placements. During the 1980s, she served on the Regulatory Affairs Committee and as president of the local chapter of the Real Estate Securities & Syndication Institute which was an affiliate of the National Association of Realtors. Mimi continues to be actively involved with ADISA (formerly Real Estate Investment Securities Association).

Mimi has primarily consulted with small and mid-size broker-dealers, serving as president, CCO, FINOP, General Principal, and Municipal Principal for various broker/dealers since the mid-1980's. She has extensive experience working with a wide variety of firms including retail, institutional, international, investment banking and wholesale firms. As a municipal principal and consultant, she has worked with small minority enterprise broker-dealers which were involved in bond underwritings, capital raising and financial advisory activities. As a consultant, Mimi is an advocate for small broker/dealers and works with FINRA small firms to strengthen their compliance programs and to improve their processes in order to mitigate their regulatory and civil risks.

As President, CCO, and small business owner, Mimi has an in-depth understanding of the challenges FINRA small firm members face on a day-to-day basis. She understands the struggles small firms have to balance their ever-growing compliance obligations, the needs of their customers, and the pressures of growing their business against limited internal and financial resources.

Mimi holds the SIE, Compliance Officer and Investment Banking Principal registrations, as well as the Series 7, 24, 27, 53, 63, 79 and 99 registrations. She previously held the Series 22, 39 and 3 registrations. Mimi currently serves as a Small Firm Member on FINRA's SE Regional Committee and is a member of SMARSH's Client Advisory Board. She received her BBA from Sam Houston State University.

An advocate for small broker-dealers and sensitive to the compliance, operational and regulatory challenges they face, she has spoken at numerous industry seminars and compliance programs over the years on topics ranging from supervision of independent brokers; surveillance using exception reports; compliance testing for small firms; product due diligence; and most recently at the FINRA Small Firm Conference in 2018 (Outside Business Activities and Private Securities Transactions), FINRA Annual Conference in 2018 (Information Security Panel), the FINRA Cybersecurity Conference in 2018, the FINRA Annual Conference in 2017, and the SMARSH 2016 Connect Conference (Building a Culture of Compliance) held in December 2016. Mimi has served as a panelist at their 2019 SMARSH Connect Conferences in Dallas, Chicago and New York.

### Optional Links:

Link to personal website, resume or CV:

Link to YouTube video:

## Candidate Profile Form—Regional Committee Election

Candidate Name: John R. Muschalek

Title: Chief Administrative Officer

Firm: Hilltop Securities Inc.

### Candidate Biography and Personal Statement

Department / Office Location  
Executive / Dallas, Texas

Education  
Bachelor of Business Administration in Accounting, Texas A&M University

#### Current Affiliations

American Institute of CPAs; Texas Society of CPAs; Financial Industry Regulatory Authority (FINRA) National Adjudicatory Council (NAC) - Re-elected to 3 year term in 2014; Chairman of the Statutory Disqualification Committee - a subcommittee of the NAC; FINRA Financial Responsibility Committee (national committee); FINRA Uniform Practice Code Committee (national committee); Securities Industry and Financial Markets Association (SIFMA) Clearing Firms Committee, 2010 chairman, 2009 vice chairman; Dallas YMCA Foundation Board Member, YMCA Financial Development Committee, Texas A&M University Finance Advisory Council, Trinity Christian Academy Foundation Investment Committee, Northwest Bible Church Finance Committee, Northwest Bible Church Defined Benefit Plan Trustee

Registrations and Qualification Exams\*  
Series 7, 24, 27, 63, Certified Public Accountant

### Optional Links:

Link to personal website, resume or CV: <https://www.hilltopsecurities.com/about-us/corporate-leadership/john-r-m>

Link to YouTube video: