

Candidate Profile — District Committee Election

Candidate Name: Linde Murphy

Title: Chief Compliance Officer

Firm: M.E. Allison & Co., Inc.

Candidate Biography and Personal Statement

Thank you for considering my candidacy for the District 6 Committee. I respectfully ask for the opportunity to represent you and our fellow small firms in the district. We are a vast and diverse district, with firms of all shapes and product lines. We like to think no two firms are alike, but in reality, many of us overlap. One of the benefits of that overlap is that a new challenge to one firm is probably a predicament another firm has already solved, especially regarding regulatory challenges. Let's stop trying to reinvent the wheel and use the resources available to us. The District Committee Representative should be such a resource.

As your District Committee member, I will work with FINRA to identify industry trends and proactively address them without creating unnecessary and burdensome rules. Yes, we do need rules in this industry, but let's make sure we accomplish what we're trying to achieve, not just put another rule on the books. The days of checking a box are over. The challenges we face these days do not fit in any box, and as small firms, we are challenged daily with the complexity of this industry. The amount of information small firms with limited staff are required to keep up with is daunting, and having a clear path to express concerns to regulators is imperative. I vow to be this conduit as your District Committee Small Firm Representative.

Compliance is one of many hats I have worn in this industry. I have also worked in sales, trading, recruiting, and business transition management, so I understand the complexities of our business from many different angles. I joined M.E. Allison & Co., Inc. in the midst of a Continuing Membership Application process, and have dealt with FINRA through multiple audits over the years.

In 2013, I was awarded one of three small firm scholarships to attend the FINRA Institute at Wharton CRCP program. I encourage all of our small firm members to apply for this scholarship. Since obtaining my CRCP, I have accepted invitations to participate on regulatory panels at national conferences and have built relationships with compliance professionals across the country.

Born and raised in Texas, I could not wait to get to Washington, D.C. for college. It may be below the Mason Dixon, but it sure was not Texas, and living outside of Texas gave me a true appreciation for home. After graduating with honors from American University, I worked on a trading desk in Chicago. After one winter in Chicago, I packed up my car and headed back to Texas. My family—and my roots—are here in Texas.

I look forward to participating in our changing industry and giving you a voice should you choose me as your District Committee member.

No matter whom you choose, please be sure to cast your ballot and participate.

Optional Links:

Link to personal website, resume or CV: _____

Link to YouTube video: _____