

Jessica Murray

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BACKGROUND

Dedicated, quality focused Chief Compliance and AML Officer with extensive knowledge of the financial services industry. A unique ability to dive deeply into FINRA, SEC, State Insurance and Securities regulations and detail as well as maintain big picture, strategic thinking. A combination of excellent analytical skills coupled with emotional intelligence to motivate, inspire, support and lead others. Known for being a tenacious problem solver by being a team builder and critical thinker. Organized, energetic and professionally able to handle competing priorities with respect and civility.

Ms. Murray's roles as Chief Compliance Officer, AML Officer, Senior Compliance Officer require performing internal investigations, coordinating with SEC, FINRA, State Securities and Insurance Departments, and internal audit to research and respond to examination and investigation requests; developing company policies and procedures and compliance training programs to protect businesses against financial crimes, misconduct, and noncompliance. .

Since February 2022, Ms. Murray also provides compliance consulting services to RIAs, broker-dealers, and insurance companies assisting in general compliance questions and guidance; designing compliance training programs; analyzing and identifying compliance program gaps and remediating those gaps; identifying third party technology providers to streamline compliance programs; outsourced CCO responsibility; coordinating of regulatory responses; employee hiring and onboarding processes; and any other compliance or training related support required by the clients she services.

EDUCATION

Bachelor of Science in Management · Bryant University

PROFESSIONAL CERTIFICATIONS

Maine Producer Life Insurance Licensed · Series 6, 7, 24, 53, 63, 65, 99

AFFILIATIONS

Securities and Insurance Licensing Association	2023
Securities Expert Roundtable (SER)	2023

EMPLOYMENT

AMERICAN ELM DISTRIBUTION PARTNERS, LLC – Portsmouth, NH 8/2019-Present

Chief Compliance Officer and AML Officer – Responsible for all aspects of the firm's compliance program, including policies and procedures, compliance training, coordinating regulatory examinations, collaborating with CEO, FinOp, and operations and compliance departments to ensure compliance with FINRA and SEC regulations and the firm's Written Supervisory Procedures.

AMERICAN ELM ADVISORS LLC – Portsmouth, NH 2/2022-Present

Chief Compliance Officer – In this role, Ms. Murray is responsible for a team of individuals who provide compliance consulting services to RIAs, broker-dealers, and insurance companies assisting in general compliance questions and guidance; designing compliance training programs; analyzing and identifying compliance program gaps and remediating

those gaps; identifying third party technology providers to streamline compliance programs; outsourced CCO responsibility; coordinating of regulatory responses; employee hiring and onboarding processes; and any other compliance or training related support required by the clients she services.

AMERICAN FOUNDRY INVESTMENT ADVISORS, LLC – Portsmouth, NH

8/2022-Present

Chief Compliance Officer – New Exempt Reporting RIA formed in 2022 to launch a private fund offering focused on accounts receivables financing. Ms. Murray is responsible for the formation of the firm’s compliance program, including credit policies and procedures, privacy policies, BCP, etc and all regulatory filing requirements associated with the formation of this new entity.

ARBORETUM INVESTMENT ADVISORS, LLC – Portsmouth, NH

8/2019-4/2023

Chief Compliance Officer - Responsible for all aspects of the RIA firm’s compliance program, including policies and procedures, compliance training, coordinating regulatory examinations, collaborating with CEO, CFO, Legal counsel, operations and compliance departments to ensure compliance with SEC regulations and the firm’s compliance manual.

PEOPLE’S SECURITIES, INC, a division of People’s United Bank – Bridgeport, CT

10/2009-8/2019

Senior Compliance Specialist and Financial Education Specialist - Primary contact for FINRA, SEC, State Securities and Insurance Divisions, internal and external examiners when conducting audits or investigations. Accountable for coordinating resources, compiling documents, and organizing the firm’s satisfactory response to examination requests in conjunction with the CCO. Responsible for monitoring and responding to new or amended FINRA, SEC and State Securities and Insurance Regulations. In response, must develop, design, implement and make applicable changes to the firm’s written supervisory procedures.

People’s United Bank, Financial Services Manager

2002-2009

Retail Management

2001-2002

People’s United Bank- Customer Correspondence Representative.

1995-2001