

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF:)
Wynne Murphy)

) No. C0400672
)
_____)

CONSENT ORDER

TO THE RESPONDENT: Wynne Murphy
C/o Samuel S. Cohen, Esq.
Counsel for Wynne Murphy
Neal, Gerber & Eisenberg LLP
Two North LaSalle Street
Chicago, IL 60602-3801

WHEREAS, Respondent on the 23rd day of April, 2007, executed a certain Stipulation to Enter Consent Order (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State in this matter and Respondent has consented to the entry of this Consent Order ("Consent Order").

WHEREAS, by means of the Stipulation, the Respondent acknowledges, without admitting or denying the truth thereof, that the following allegations shall be adopted as the Secretary of State's Findings of Fact:

1. Respondent Wynne Murphy ("Murphy") is employed as a financial advisor for Merrill Lynch, Pierce, Fenner & Smith Incorporated ("Merrill") at the branch office located at 1630 South Lindbergh in Ladue, Missouri (the "Branch") and is registered as a salesperson and an investment advisor representative in Illinois.
2. In March of 2000, two trustee certification forms (the "Certifications") for a Merrill client ("Client") for whom Murphy was the financial advisor were improperly notarized.

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WHEREAS, by means of the Stipulation Respondent has acknowledged, without admitting or denying the averments, that the following shall be adopted as the Secretary of State's Conclusions of Law:

1. Respondent Murphy has failed to follow Merrill's procedures as they pertain to notarizations of the Trusts, thereby resulting in a violation of Section 8.E(1)(e)(iv) of the Act.

WHEREAS, by means of the Stipulation, Respondent Murphy has acknowledged and agreed that the Secretary of State will issue the Consent Order.

WHEREAS, Respondent Murphy, through his counsel, has assured that he is aware of, and understands, Merrill's policies regarding notarizations of client documents.

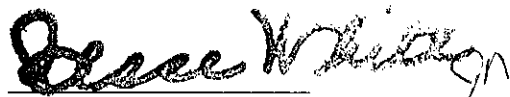
WHEREAS, by means of the Stipulation and issuance of the Consent Order all claims that were made or could have been made arising from the facts alleged in the Notice of Hearing issued on February 1, 2007, are resolved.

WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the formal hearing scheduled for July 9, 2007, may be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

1. Respondent Wynne Murphy shall cause the sum of Five Thousand dollars (\$5,000.00) to be paid to the Office of the Secretary of State, Audit and Enforcement Fund for costs of the investigation of this matter.
2. The formal hearing, as it pertains to Respondent Wynne Murphy scheduled on this matter is hereby dismissed without further proceedings.

ENTERED: This 27th day of April, 2007.



JESSE WHITE
Secretary of State
State of Illinois

NOTICE: Failure to comply with the terms of this Order shall be a violation of Section 12.D of the ACT. Any person or entity that fails to comply with the terms of

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this Order of the Secretary of State, having knowledge of the existence of this Order, shall be guilty of a Class 4 felony for each offense.

This is a final order subject to administrative review pursuant to the Administrative Review Law [735 ILCS 5/3-101 et seq.] and the Rules and Regulations of the Act (14 Ill. Admin. Code, Ch. 1 Sec. 130.1123). Any action for judicial review must be commenced within thirty-five (35) days from the date a copy of this Order is served upon the party seeking review.