

New Mexico State Treasurer's Office

Broker-Dealer List

Fiscal Year 17

Effective: July 1, 2016 - June 30, 2017

#	Firm	Name	FINRA CRD #	Phone	Address	E-mail	Primary / Secondary
1	Academy Securities CRD # 17433	Phil Peters Steve Chaires	361083 4560892	912-358-0758 919-960-0807	277 Park Avenue, 35th Floor New York, NY 10172	ppeters@academysecurities.com schaires@academysecurities.com	Secondary Dealer
2	Barclays Capital CRD # 19714	Peter Bjursten	2497396	415-263-3370 212-526-7000	745 7th Avenue New York, NY 10019	peter.bjursten@barclays.com	Primary Dealer
3	BB&T Securities CRD # 142785	Thomas (Tom) Short Jose Fernandez	4262581 2815076	804-644-7686 804-649-3947	901 East Byrd Street, Suite 300 Richmond, VA 23219	tshort@bbandtcm.com jfernandez@bbandtcm.com	Secondary Dealer
4	BMO Capital Markets Corp. CRD # 16686	Jessica Youstra Adam Bramson	2557084 4754068	312-845-2685 312-845-2694	3 Times Square New York, NY 10036	Jessica.Youstra@bmo.com Adam.Bramson@bmo.com	Primary Dealer APPROVED FOR REPO
5	BOSC, Inc. CRD # 17530	Blake Murry Doug Kinzie Justin Close Hal Brown	5441074 1787480 5601555 2861849	918-588-6067 918-588-6417 918-534-7735 405-272-2408	One Williams Center Plaza SE Tulsa, OK 74192	bmurry@bokf.com dkinzie@bokf.com jclose@bokf.com hbrown@bokf.com	Secondary Dealer
6	Cantor Fitzgerald & Co. CRD # 134	Kate McHale-Ogawa Mark Mothner	3096922 1861393	212-829-4888 212-829-4888	110 East 59th Street, 4th Floor New York, NY 10022	kogawa@cantor.com mmothner@cantor.com	Primary Dealer
7	CastleOak Securities, L.P. CRD # 125334	Matthew Middendorf Scott Rider Daniel Davis	3133237 3168094 2193201	216-912-4641 212-610-5584 212-610-5593	110 East 59th Street 2nd Floor New York, NY 10022	mmiddendorf@castleoaklp.com srider@castleoaklp.com ddavis@castleoaklp.com	Secondary Dealer
8	Citigroup Global Markets Inc. CRD # 7059	Ryan Harris Christopher Vaky Bradley Ladden	4372086 5661405 1383210	404-842-2471 404-842-2460 404-842-2457	390 Greenwich Street New York, NY 10013	ryan.m.harris@citigroup.com christopher.vaky@citigroup.com bradley.ladden@citigroup.com	Primary Dealer
9	Daiwa Capital Markets America Inc. CRD # 1576	Andres Tamayo John Fairchild	4664829 2888676	415-955-8185 212-612-6537	32 Old Slip New York, NY 10005-3538	andres.tamayo@us.daiwacm.com john.fairchild@us.daiwacm.com	Secondary Dealer
10	Deutsche Bank Securities—DBSI CRD # 2525	Frank Rice Mark Shaughnessy Jim McNichol Mike Geller	1972699 1493721 5381388 5041612	212-250-8535 212-250-8535 212-250-8535 212-250-8535	60 Wall Street New York, NY 10005	frank.rice@db.com mark.shaughnessy@db.com james.mcnichol@db.com michael.geller@db.com	Primary Dealer APPROVED FOR REPO
11	Drexel Hamilton, LLC CRD # 143570	Harry G. Smith Steven M. Ivicic	1097780 1367360	212-632-0415 212-632-0411	2000 Market Street, Suite 780 Philadelphia, PA 19103	hsmith@drexelhamilton.com sivicic@drexelhamilton.com	Secondary Dealer
12	FTN Financial Capital Markets CRD # 46346	Heather MacGregor	3099935	305-537-1776	1691 Michigan Avenue, Suite 210 Miami Beach, FL 33139	heather.macgregor@ftnfinancial.com	Secondary Dealer
13	Guggenheim Securities LLC CRD # 40638	Michael Skinner Dion Waldow	2784577 2194084	212-457-7695 212-457-7696	330 Madison Avenue New York, NY 10017	Michael.Skinner@Guggenheimpartners.com Dion.Waldow@Guggenheimpartners.com	Secondary Dealer
14	Hilltop Securities Inc. CRD # 6220	Linda Callaway Michelle (Shelly) Rubin	1364037 1214639	800-842-8008 800-842-8008	300 West 6th Street, Suite 1940 Austin TX 78701	linda.callaway@hilltopsecurities.com shelley.rubin@hilltopsecurities.com	Secondary Dealer
15	HSBC Securities USA Inc. CRD # 19585	Elizabeth Harris Jason Apostolides	4877648 5168501	212-525-0200 212-525-0200	452 Fifth Avenue, 10th Floor New York, NY 10018	elizabeth.a.harris@us.hsbc.com jason.j.apostolides@us.hsbc.com	Primary Dealer APPROVED FOR REPO
16	ICBC Financial Services CRD # 1876362	Richard Misiano Michael Slattery Jack York Jason Jaw	2339879 4281147 1219991 6224331	212-993-7394 212-993-7360 212-993-7360 212-993-7360	1633 Broadway, 28th Floor New York, NY 100019	richard.misiano@icbkfs.com Michael.slattery@icbkfs.com Jack.york@icbkfs.com Jason.jaw@icbkfs.com	Secondary Dealer
17	INTL FCStone Financial, Inc. CRD # 45993	Meghan Suriani Robert A. Laforte	5158957 3258615	877-391-8810 800-232-0043	10 Exchange Place, Suite 1005 Jersey City, NJ 07302	meghan.suriani@intlfcstone.com robert.laforte@intlfcstone.com	Secondary Dealer
18	Jefferies LLC CRD #2347	Andrew Davidoff Brett Vaughan	1121622 5005595	310-575-5161 212-284-3484	520 Madison Ave, 8th Floor New York, NY 10022	adavidoff@jefferies.com bvaughan@jefferies.com	Primary Dealer APPROVED FOR REPO
19	KeyBanc Capital Markets CRD # 566	James Boyle Terri Rourke	2961006 869129	415-733-2460 415-733-2460	127 Public Square Cleveland, OH 44114	jboyle@key.com trourke@key.com	Secondary Dealer
20	Lawson Financial Corp. CRD # 15261	Gaetano Perrone Eric Baurichter	818975 3009124	575-622-1871 602-381-8645	3352 East Camelback Road Phoenix, AZ 85013	quy.perrone@lawsonfinancial.com eric.baurichter@lawsonfinancial.com	Secondary Dealer
21	Loop Capital Markets CRD # 43098	Eileen Piechocki Peter Bohr Tony Coates	1642606 1628907 2165903	312-913-4902 312-356-5898 312-356-5894	100 West Jackson Boulevard, Suite 1901 Chicago IL 60604	eileen.piechocki@loopcapital.com peter.bohr@loopcap.com tony.coates@loopcapital.com	Secondary Dealer

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22	MFR Securities CRD # 36308	John M. Bannon Monique Tommaro	2479579 2001048	212-416-5072 212-416-5023	675 Third Avenue, 11th Floor New York, NY 10017	jbannon1@mfr.com monique@mfr.com	Secondary Dealer
23	Mitsubishi UFJ Securities CRD # 19685 REPO ONLY	David Brown Joseph DiMartino Jeffrey Estremera Anthony Tarabocchia	1606432 2313315 4983768 4835589	212-405-7428 212-405-7455 212-405-7483 212-405-7454	1221 Avenue of the Americas, 6th Floor New York, NY 10020-1001	dbrown@us.sc.mufj.jp jdmartino@us.sc.mufj.jp jestremera@us.sc.mufj.jp atarabocchia@us.sc.mufj.jp	Secondary Dealer REPO ONLY
24	Mizuho Securities USA Inc. CRD# 19647	Sean Smith Michael Reisman	4038855 2039031	212-205-7540 212-205-7540	320 Park Avenue, 11th Floor New York, NY 10022	sean.smith@us.mizuho-sc.com michael.reisman@us.mizuho-sc.com	Primary Dealer APPROVED FOR REPO
25	Morgan Stanley Smith Barney LLC CRD #149777	Ernest Marchosky Justin C. Baker	1175185 4938937	213-486-6880 213-486-8883	2000 Westchester Avenue Purchase, NY 10577	Ernest.Marchosky@morganstanley.com Justin.Baker@morganstanley.com	Primary Dealer
26	Mutual Securities, Inc. CRD # 13092	Rene Molina William M. Lewis	1322709 1912930	866-899-5544 310-270-5476	807-A Camarillo Springs Road Camarillo, CA 93012	rene.molina@mutualsecurities.com mark.lewis@mutualsecurities.com	Secondary Dealer
27	Raymond James & Associates Inc. CRD # 705	Steve Shapiro Marshall Clark Ryan Ehrhart	502356 2057778 3073508	212-508-7576 901-529-5350 901-579-4811	880 Carillon Parkway St. Petersburg, FL 33716	Steve.shapiro@raymondjames.com marshall.clark@raymondjames.com	Secondary Dealer
28	RBC Capital Markets, LLC CRD # 31194 REPO ONLY	David Attanasio Richard Yemm Gregg Gluberman	2649910 2944377 2783817	212-858-7276 212-858-7231 212-618-3591	200 Vesey Street New York, NY 10281	david.attanasio@rbccm.com richard.yemm@rbccm.com gregg.gluberman@rbccm.com	Primary Dealer REPO ONLY
29	RBS Securities Inc. (Royal Bank of Scot CRD # 11707	Jeffrey Oldenburg Paul Saladino	5170155 2683401	312-664-7970 312-664-7710	600 Washington Boulevard Stamford, CT 06901	jeffrey.oldenburg@rbs.com paul.saladino@rbs.com	Primary Dealer APPROVED FOR REPO
30	Robert W. Baird & Co. CRD # 8158	Larry Serota Cynthia (Cindi) Stewart	1414715 1264114	713-296-8013 713-296-8017	4400 Post Oak Parkway, Suite 2300 Houston, TX 77027	lserota@rwbaird.com cstewart@rwbaird.com	Secondary Dealer
31	Samuel A. Ramirez & Co., Inc. CRD # 6963	T. Ryan Greenawalt Tracy Marcus	4374222 2617183	212-378-7137 212-378-7122	61 Broadway, 29th Floor New York, NY 10006	ryan.greenawalt@ramirezco.com tracy.marcus@ramirezco.com	Secondary
32	Stifel Nicolaus & Co CRD # 793	Bill Blackwell Hillary Neiman	1554624 4458652	949-234-2349 813-424-2659	201 North Broadway St Louis, MO 63102	blackwillb@stifel.com neimanh@stifel.com	Secondary Dealer
33	TD Securities (USA) LLC CRD # 18476	Chanel Soto Michael Kahn	5939418 2898658	212-827-7169 212-827-7123	31 West 52nd Street New York, NY 10019-6101	chanel.soto@tdsecurities.com michael.kahn@tdsecurities.com	Primary Dealer
34	UBS Financial Services CRD # 8174	Nathaniel (Nat) Mosley James (Jim) Madden John Doke	501773 2074516 2192766	214-965-6179 214-965-6174 314-965-6177	100 Crescent Court, Suite 600 Dallas, TX 75201	nathaniel.mosley@ubs.com james.madden@ubs.com john.doke@ubs.com	Primary Dealer
35	Vining Sparks IBG, LP CRD # 27502	Jaime Loftin Picunko Britton Wilkins Judy Welker	4195526 2264667 1936461	901-762-5852 901-766-3101 901-766-3065	775 Ridge Lake Blvd Memphis, TN 38120	jloftin@viningsparks.com bwilkins@viningsparks.com jwelker@viningsparks.com	Secondary Dealer
36	Wells Fargo Securities, LLC CRD # 126292	Douglas Safford Brian Warden	1624288 3232888	602-378-4002 602-378-6677	100 West Washington Street, 17th Floor Phoenix, AZ 85003	safford@wellsfargo.com Brian.Warden@wellsfargo.com	Primary Dealer

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