

**New Mexico State Treasurer's Office  
Broker-Dealer List  
Fiscal Year 18**

Final List for FY18

Revision date: August 21, 2017

#	Firm	Name	FINRA CRD #	Phone	Address	E-mail	Primary / Secondary
1	<b>Academy Securities</b> CRD # 17433	Philip Peters	361083	912-358-0758	277 Park Avenue, 35th Floor	ppeters@academysecurities.com	Secondary Dealer
		Stephen Chaires	4560892	919-960-0807	New York, NY 10172	schaire@academysecurities.com	
2	<b>Barclays Capital</b> CRD # 19714	Peter Bjursten	2497396	415-263-3370	745 7th Avenue	peter.bjursten@barclays.com	Primary Dealer
					New York, NY 10019		
3	<b>BB&amp;T Securities</b> 16686	Thomas (Tom) Short	4262581	804-644-7686	901 East Byrd Street, Suite 300	tshort@bbandtc.com	Secondary Dealer
		Jose Fernandez	2815076	804-649-3947	Richmond, VA 23219	jfernandez@bbandtc.com	
4	<b>BMO Capital Markets Corp.</b> CRD # 16686	Jessica Youstra	2557084	312-845-2685	3 Times Square	jessica.youstra@bmo.com	Primary Dealer APPROVED FOR REPO
		Mary Cerrone	1715818	312-461-3866	New York, NY 10036	mary.cerrone@bmo.com	
		Adam Bramson	4754068	312-845-2694		adam.bramson@bmo.com	
5	<b>BOK Financial Securities, Inc.</b> CRD # 17530 (name changed from BOSC to BOK in July'16)	Blake Murry	5441074	918-588-6067	One Williams Center Plaza SE	bmurry@bokf.com	Secondary Dealer
		Doug Kinzie	1787480	918-588-6417	Tulsa, OK 74192	dkinzie@bokf.com	
		Justin Close	5601555	918-594-7735		jclos@bokf.com	
		Hal Brown	2861849	405-242-2408		hbrown@bokf.com	
6	<b>Cantor Fitzgerald &amp; Co.</b> CRD # 134	Kate McHale-Ogawa	3096922	212-829-4888	110 East 59th Street, 4th Floor	kogawa@cantor.com	Primary Dealer
		Jaff Salim	4540267	303-385-8641	New York, NY 10022	jsalim@cantor.com	
7	<b>CastleOak Securities, L.P.</b> CRD # 125334	Matthew Middendorf	3133237	216-912-4641	110 East 59th Street 2nd Floor	mmiddendorf@castleoaklp.com	Secondary Dealer
		Scott Rider	3168094	212-610-5584	New York, NY 10022	srider@castleoaklp.com	
		Dan Davis	2193201	212-610-5593		ddavis@castleoaklp.com	
8	<b>Citigroup Global Markets Inc.</b> CRD # 7059	Ryan Harris	4372086	404-842-2471	390 Greenwich Street	ryan.m.harris@citi.com	Primary Dealer
		Chris Vaky	5661405	404-842-2460	New York, NY 10013	christopher.vaky@citi.com	
		Bradley Ladden	1383210	404-842-2457		bradley.ladden@citi.com	
9	<b>Daiwa Capital Markets America Inc.</b> CRD # 1576	Andres (Andy) Tamayo	4664829	415-955-8185	32 Old Slip	andres.tamayo@us.daiwacm.com	Primary Dealer
		Jason Crone	2978539	415-955-8186	New York, NY 10005-3538	jason.crone@us.daiwacm.com	
10	<b>Deutsche Bank Securities—DBSI</b> CRD # 2525	Frank Rice	1972699	212-250-8535	60 Wall Street	frank.rice@db.com	Primary Dealer APPROVED FOR REPO
		Mark Shaughnessy	1493721	212-250-8535	New York, NY 10005	mark.shaughnessy@db.com	
		Jim McNichol	5381388	212-250-8535		james.mcnichol@db.com	
11	<b>Drexel Hamilton, LLC</b> CRD # 143570	Harry Smith	1097780	212-632-0415	601 Walnut Street, Suite 670	hsmith@drexelhamilton.com	Secondary Dealer
		Steve Ivicic	1367360	212-632-0411	Philadelphia, PA 19106	sivcic@drexelhamilton.com	
12	<b>FTN Financial Capital Markets</b> CRD # 46346	Heather MacGregor	3099935	305-537-1776	1691 Michigan Avenue, Suite 210 Miami Beach, FL 33139	heather.macgregor@ftnfinancial.com	Secondary Dealer
13	<b>George K. Baum &amp; Company</b> CRD # 36354	Tim Zarlengo	706292	303-391-5435	4801 Main Street, Suite 500	zarlengo@gkbaum.com	Secondary Dealer
		Edmund Steinauer	707909	303-391-5557	Kansas City, MO 64112	steinauer@gkbaum.com	
		Marc Dispense	4655410	303-391-5438		dispense@gkbaum.com	
		Elizabeth Barber	4285930	303-391-5599		barber@gkbaum.com	
		Margaret Monckton	1378068	303-391-5599		monckton@gkbaum.com	
14	<b>Guggenheim Securities LLC</b> CRD # 40638	Michael Skinner	2784577	212-457-7695	330 Madison Avenue	Michael.Skinner@Guggenheimpartners.com	Secondary Dealer
		Dion Waldow	2194084	212-457-7696	New York, NY 10017	Dion.Waldow@Guggenheimpartners.com	
15	<b>Hilltop Securities Inc.</b> CRD # 6220	Linda Callaway	1364037	800-842-8008	300 West 6th Street, Suite 1940	linda.callaway@hilltopsecurities.com	Secondary Dealer
		Michelle (Shelly) Rubin	1214639	800-842-8008	Austin TX 78701	shelley.rubin@hilltopsecurities.com	
16	<b>HSBC Securities USA Inc.</b> CRD # 19585	Elizabeth Harris	4877648	212-525-0200	452 Fifth Avenue, 10th Floor	elizabeth.a.harris@us.hsbc.com	Primary Dealer APPROVED FOR REPO
		Jason Apostolides	5168501	212-525-0200	New York, NY 10018	jason.j.apostolides@us.hsbc.com	

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17	<b>INTL FCStone Financial, Inc.</b> CRD # 45993	Meghan Suriani	5158957	877-391-8810	1633 Broadway, 28th Floor	Meghan.Suriani@intlfcstone.com	Secondary Dealer
		Thomas Kelly	4258110	800-426-2851	New York, NY 100019	Thomas.Kelly@intlfcstone.com	
		Molly Galvin	6105861	212-379-5566		Molly.galvin@intlfcstone.com	
18	<b>Jefferies LLC</b> CRD #2347	Andrew Davidoff	1121622	310-575-5161	520 Madison Ave, 8th Floor	adavidoff@jefferies.com	Primary Dealer
		Brett Vaughan	5005595	212-284-3484	New York, NY 10022	bvaughan@jefferies.com	APPROVED FOR REPO
19	<b>KeyBanc Capital Markets</b> CRD # 566	James Boyle	2961006	415-733-2460	127 Public Square	jjboyle@key.com	Secondary Dealer
		Terri Rourke	869129	415-733-2460	Cleveland, OH 44114	trourke@key.com	
20	<b>Loop Capital Markets</b> CRD # 43098	Eileen Piechocki	1642606	312-913-4902	111 West Jackson , Suite 1901	Eileen.piechocki@loopcapital.com	Secondary Dealer
		Peter Bohr	1628907	312-356-5898	Chicago IL 60604	Peter.bohr@loopcapital.com	
		Wade Watson	5084410	312-913-2270		Wade.watson@loopcapital.com	
		Tony Coates	2165903	312-356-5894		tony.coates@loopcapital.com	
21	<b>MFR Securities</b> CRD # 36308	John Michael Bannon	2479579	212-416-5072	630 Third Avenue, 12th Floor	jbannon1@mfr.com	Secondary Dealer
		Monique Tommaro	2001048	212-416-5023	New York, NY 10017	monique@mfr.com	
22	<b>Mitsubishi UFG Securities</b> MUFG Securities Americas Inc. CRD # 19685	David Brown	1606432	212-405-7428	1221 Avenue of the Americas, 6th Fl	dbrown@us.sc.mufg.jp	Secondary Dealer APPROVED FOR REPO
		Joseph DiMartino	2313315	212-405-7455	New York, NY 10020-1001	jdimartino@us.sc.mufg.jp	
		Jeffrey Estremera	4983768	212-405-7483		jestremera@us.sc.mufg.jp	
		Anthony Tarabocchia	4835589	212-405-7454		atarabocchia@us.sc.mufg.jp	
23	<b>Mizuho Securities USA Inc.</b> CRD# 19647	Sean Smith	4038855	212-205-7540	320 Park Avenue, 11th Floor	sean.smith@us.mizuho-sc.com	Primary Dealer
		Michael Reisman	2039031	212-205-7540	New York, NY 10022	michael.reisman@us.mizuho-sc.com	APPROVED FOR REPO
24	<b>Morgan Stanley Smith Barney LLC</b> CRD #149777	Ernest Marchosky	1175185	213-486-8880	2000 Westchester Avenue	Ernest.Marchosky@morganstanley.com	Primary Dealer
		Justin C. Baker	4938937	213-486-8883	Purchase, NY 10577	Justin.Baker@morganstanley.com	
25	<b>Mutual Securities, Inc.</b> CRD # 13092	Rene Molina	1322709	866-899-5544	100 Spectrum Center Drive, St. 900	rene.molina@mutualsecurities.com	Secondary Dealer
		William M. Lewis	1912930	310-270-5476	Irvine, CA 92618	mark.lewis@mutualsecurities.com	
26	<b>Nomura Securities International, Inc.</b> CRD # 4297 NOMURA INACTIVE AS OF 8/21/2017	Maurice Fiol	2351940	212-667-1612	309 West 49th Street	maurice.fiol@nomura.com	Secondary Dealer
		Michael Guerra	4670766	212-667-1612	New York, NY 10281	michael.guerra@nomura.com	
		Michael Flynn	5585214	212-667-1612		michael.flynn@nomura.com	
27	<b>Raymond James &amp; Associates Inc.</b> CRD # 705	Marshall Clark	2057778	901-529-5350	880 Carillon Pkwy ST	marshall.clark@raymondjames.com	Secondary Dealer
		Ryan Ehrhart	3073508	901-579-4811	St. Petersburg FL 33716	ryan.ehrhart@raymondjames.com	
28	<b>RBC Capital Markets, LLC</b> CRD # 31194	David Attanasio (REPO)	2649910	212-858-7276	200 Vesey Street	david.attanasio@rbccm.com	Primary Dealer
		Richard Yemm (REPO)	2944377	212-858-7231	New York, NY 10281	richard.yemm@rbccm.com	APPROVED FOR REPO
		Amanda Colon (REPO)	6378332	212-858-7295		amanda.colon@rbccm.com	
		Gregg Gluberman (REPO)	2783817	212-618-3591		gregg.gluberman@rbccm.com	
		Walter Hall (TRADES)	1496104	866-952-5391		walter.hall@rbc.com	
		Eric Ajlouny (TRADES)	4133186	866-952-5391		eric.ajlouny@rbc.com	
		Mark Solis (TRADES)	5343360	866-952-5391		mark.solis@rbc.com	
29	<b>RBS Securities Inc. also dba NatWest Markets</b> CRD # 11707	David R. Drennen	4816041	203-897-2800	600 Washington Boulevard	David.Drennen@natwestmarkets.com	Primary Dealer
		Avi Kwalwasser	4277304	203-897-6083	Stamford, CT 06901	Avi.Kwalwasser@natwestmarkets.com	APPROVED FOR REPO
		Damon Allen	2679580	203-897-2828		Damon.Allen@natwestmarkets.com	
30	<b>Robert W. Baird &amp; Co.</b> CRD # 8158	Larry Serota	1414715	713-296-8013	4400 Post Oak Parkway, Suite 2300	lserota@rwbaird.com	Secondary Dealer
		Cynthia (Cindi) Stewart	1264114	713-296-8017	Houston, TX 77027	cstewart@rwbaird.com	
31	<b>Samuel A. Ramirez &amp; Co., Inc.</b> CRD # 6963	T. Ryan Greenawalt	4374222	212-378-7137	61 Broadway, 29th Floor	ryan.greenawalt@ramirezco.com	Secondary Dealer
		Tracy Marcus	2617183	212-378-7122	New York, NY 10006	tracy.marcus@ramirezco.com	

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32	<b>Stifel, Nicolaus &amp; Company, Inc.</b>	Bill Blackwell	1554624	949-234-2349	201 North Broadway	blackwillb@stifel.com	Secondary Dealer	
		CRD # 793	Hillary Neiman	4458652	812-759-1773	St Louis, MO 63102		neimanh@stifel.com
33	<b>Suntrust Robinson Humphrey, Inc.</b>	Lauren Drennan	5921382	901-842-3799	850 Ridge Lake Boulevard, Suite 400	lauren.drennan@suntrust.com	Secondary Dealer	
		CRD # 6271	Mairead Deehan	4722645	901-842-3684	Memphis, TN 38120		mairead.deehan@suntrust.com
		Timothy Herburger	2761275	901-842-3766	Memphis, TN 38120	tim.herburger@suntrust.com		
34	<b>TD Securities (USA) LLC</b>	Chanel Soto	5939418	212-827-7169	31 West 52nd Street	chanel.soto@tdsecurities.com	Primary Dealer	
		CRD # 18476	Michael Kahn	2898658	212-827-7123	New York, NY 10019-6101		michael.kahn@tdsecurities.com
		Steve Gavula	5070511	212-827-7872		Stephen.Gavula@TDSecurities.com		
35	<b>UMB Bank, n.a.</b>	Jeffrey Steiner	2498701	214-389-5932	1010 Grand Boulevard	Jeffrey.Steiner@umb.com	Secondary Dealer	
		CRD # 17073	Jeffrey Duchin	2804999	214-389-5927	Kansas City, MO 64106		Jeffrey.Duchin@umb.com
36	<b>Vining Sparks IBG, LP</b>	Jaime Loftin Picunko	4195526	901-762-5852	775 Ridge Lake Blvd	jloftin@viningsparks.com	Secondary Dealer	
		CRD # 27502	Randy Wade	1572823	901-766-3183	Memphis, TN 38120		rwade@viningsparks.com
		Judy Welker	1936461	901-766-3065		jwelker@viningsparks.com		
37	<b>Wells Fargo Securities, LLC</b>	Douglas Safford	1624288	602-378-4002	550 South Tryon Street, 6th Floor	safford@wellsfargo.com	Primary Dealer	
		CRD # 126292	Brian Warden	3232888	602-378-6677	Charlotte NC 28027		Brian.Warden@wellsfargo.com
38	<b>Williams Capital Group, L.P.</b>	Charles McAteer	2250616	212-373-4265	650 Fifth Avenue, Floor 9	mcateer@willcap.com	Secondary Dealer	
		CRD # 35149	Janice Savin Williams	1276382	212-830-4532	New York, NY 10019		savin@willcap.com