

NewMexico State Treasurer's Office

Final Broker-Dealer List

Fiscal Year 2024 and 2025

FIRM	NAME	FINRA CRD #	PHONE	ADDRESS	E-MAIL	PRIMARY / SECONDARY
1 Academy Securities	John Tarditi	2672075	646-520-4912	622 Third Avenue	jtarditi@academysecurities.com	Secondary Dealer
CRD # 17433	Matt McQuillen	2364512	646-520-4911	12th Floor	mmcquillen@academysecurities.com	
	Mike DiMeglio	5329038	646-430-8645	New York, NY 10017	mdimeglio@academysecurities.com	
	Pat Hackett	6769048	646-213-3749		phackett@academysecurities.com	
2 Arbor Research & Trading, LLC	Max Konzelman	4650920	847-756-3636	22333 Classic Court	max.konzelman@arborresearch.com	Secondary Dealer
CRD # 21313				LakeBarrington, IL 60010		
3 ASL Capital Markets	Michael Weir	2022699	203-3882956	600 Summer Street	michael.weir@aslcap.com	Primary Dealer
CRD # 286115	Jim Levenson	1526632	203-3882959	Suite 402	jim.levenson@alcap.com	
				Stamford, CT 06901		
4 Bancroft Capital	Steve M. Ivicic	1367360	484-373-4737	501 Office Center Drive	sivcic@bancroft4vets.com	Secondary Dealer
CRD # 290665	Harry G. Smith	1097780	646-880-8601	Suite 130	hgsmith@bancroft4vets.com	
	Susan E. Gress	1100249	484-373-4742	Fort Washington, PA 19034	sgress@bancroft4vets.com	
	Kathleen M. Baltra	5068022	484-373-4741		kbaltra@bancroft4vets.com	
5 Bof A Securities Inc	John Vanderwilt	4805367	415-913.6907	One Bryant Park	John.a.vanderwilt@bofa.com	Primary Dealer
CRD # 283942	Jonathan Williams	5299752	415-913-6907	New York, NY 10036	jonathon.williams@bofa.com	
	Hedi Masuoka	2823955	415-622-3040		hedi.masuoka@bofa.com	
6 Barclays Capital	Matthew Woods	5339611	312-416-3555	745 7th Avenue	matthew.woods@barclays.com	Primary Dealer
CRD # 19714	Ivan Shen	4645521	212-412-2112	New York, NY 10019	ivan.shen@barclays.com	
	Benjamin Krisnky	5221824	212-412-2112		benjamin.krisnky@baarclays.com	
	Alex Hazelton	2408034	212-412-2112		alex.hazelton@barclays.com	
	Manish Saraf	4592042	212-412-1495		manish.saraf@barclays.com	
	Frank Dugan	1834411	212-412-2114		frank.dugan@barclays.com	
	Romel Medina	5349466	212-528-1052		romel.medina@barclays.com	
	Doug Butman	6812084	212-412-2114		doug.butman@barclays.com	
7 BMO Capital Markets	Shawn Oxenham	4058498	415-591-2107	151 West 42 Street	shawn.oxenham@bmo.com	Primary Dealer Active Approved for REPO
CRD # 16686	Bill Pilsbury	5216534	514-591-2110	New York, NY 10036	William.pilsbury@bmo.com	
	Tony Pham	6179373	925-843-8807		tony.pham@bmo.com	
8 BOK Financial Securities	Blake Murry	5441074	918-588-6067	One Williams Center	bmurry@bokf.com	Secondary Dealer
CRD # 17530	Justin Close	5601555	918-594-7735	Plaza SE	jclose@bokf.com	
	Hal Brown	2861849	405-272-2408	Tulsa, OK 74192	hbrown@bokf.com	
	Zach Mills	6634904	918-619-0848		Zach.mills@bokf.com	
9 Cabera Capital Markets	Steven Goff	5748679	205-422-3476	227 W. Monroe	sgoff@cabrereacapital.com	Secondary Dealer
CRD # 10081	Ed O'Connor	2398152	215-422-3481	Suite 3000 Chicago, IL 60606	eonnor@cabreracapital.com	
10 Cantor Fitzgerald	Louis Gentilucci	1301605	484-531-5144	110 East 59th Street	LGentilucci@cantor.com	Primary Dealer
CRD # 134	Edward Thomas Smith	2787180	212-829-5435	4th Floor	esmith@cantor.com	
	Amrut Dinkar Bharambe	4748695	212-829-5435	New York, NY 10022	abharambe@cantor.com	
	Matthew Steven Strambi	6667573	212-915-1394		matthew.strambi@cantor.com	
11 CastleOak Securities	Matthew Middendorf	3133237	216-912-4641	200 Vessey St.	mmiddendorf@castleoaklp.com	Secondary Dealer
CRD # 125334	Scott Rider	3168094	212-6105584	4th Floor New York, NY 10281	srider@castleoaklp.com	
12 CIBC Worls Markets Corp.	Karyne D'Angelis Mendes	3277910	212-885-4773	300 Madison Avenue	karyne.dangelismendes@cibc.com	Secondary Dealer
CRD # 630				5th Floor New York, NY 10017		

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13	Daiwa Capitl Markets	Andres Tamayo	4664829	415-955-8185	Financial Square 32 Old Ship	andres.dandrestamay@us.daiwacm.com	Primary Dealer
	CRD # 1576	Thomas Moore	1750761	212-612-6200	New York, NY 10005	thomas.moore@us.daiwacm.com	
14	Dexel Hamilton	Lynn Orenstein	1938618	212-632-0413	110 East 42 Steet	lorenstein@drexelhamilton.com	Secondary Dealer
	CRD # 143570	Patrick O'Connor	4527527	646-412-1529	Suite 1502	poconnor@drexelhamilton.com	
		John C. Martinko	5286067	646-412-1511	New York, NY	jmartinko@drexelhamilton.com	
15	FHN Financials	Heather MacGregor	3099935	305-537-1776	The Main 201 Las Olas Bvd.	heather.macgregor@fhnfinancail.com	Secondary Dealer
	CRD # 46346				Suite 1120 Fort Lauderdale, FL 33301		
16	Fifth Third Securities	Thomas Short	4262581	703-867-7494	38 Fountain Square Plaza	thomas.short@53.com	Secondary Dealer
	CRD # 628	Deb Gellman	2012105	646-216-4205	MD 10903p	deb.gellman@53.com	
					Cincinnati, OH 45202		
17	Great Pacific Securities	Nader Mokri	1734504	629-205-5455	151 Kalmus Drive	nmokri@greatpac.com	Secondary Dealer
	CRD # 29251	Christopher Vinck-Luna	2447335	714-619-3000	Suite H-8	cvinck@greatpac.com	
					Costa Mesa, CA 92626		
18	HSBC Securities	Daniel J Wolff	6650650	212-525-0200	452 5th Avenue	daniel.x.wolff@us.hsbc.com	Primary Dealer
	CRD # 19585	Carl Neuhaus	4222174	212-525-0200	New York, NY 10018	carl.p.neuhaus@us.hsbc.com	
19	InspereX LLC	Daniel Larsen	2450797	561-361-1269	25 SE 4th Avenue	dlarsen@inserex.com	Secondary Dealer
	CRD # 101420	Ian Paetow	6370385	561-361-1284	Suite 400	ipaetow@insperex.com	
		Jessica Berks	4603854	561-361-1289	Delray Beach, FL 33483	jberks@insperex.com	
20	Jefferies LLC	Scott Lewis	1697540	404-264-5056	520 Madison Avenue	scott.lewis@jefferies.com	Primary Dealer
	CRD # 2347	Joseph Triolo	2765483	212-284-2182	New York, NY 10022	jtriolo@jefferies.com	
21	JP Morgan Securities	Asher Joseph	6200270	212-834-7412	383 Madison Avenue	asher.j.joseph@jpmorgan.com	Primary Dealer
	CRD # 18718	Elizabeth Jaroncyk	5341597	212-272-6795	New York, NY 10179	elizabeth.a.joronczyk@jpmorgan.com	
		James Marten	5934722	415-315-5242		james.p.marten@jpmorgan.com	
		Bridget Schreiber	2282738	415-315-5242		bridget.k.schreiber@jpmorgan.com	
22	KeyBanc Capital Markets	James Boyle	2961006	415-733-2460	1 California St.	jiboyle@key.com	Secondary Dealer
	CRD # 566	Kenneth V Kauftheil	1301973	415-733-2460	Suite 2400	ken.kauftheil@key.com	
		Kelly Metheny	2886727	216-689-7167	San Francisco, CA 94111	kmetheny@key.com	
23	Loop Capitl Markets	Eileen Piechocki	1642606	312-913-4902	111 W. Jackson	eileen.piechocki@loopcapital.com	Secondary Dealer
	CRD # 43098	Julie Karr	1715239	312-913-4942	Suite 1900	julie.karr@loopcapital.com	
		Wade Watson	5084410	312-913-2270	Chicago, IL 60604	wade.watson@loopcapital.com	
24	MarketAxess	Michael Higgins	4015641	212-813-6002	55 Hudson Yards	Mhiggins@marketaxess.com	Secondary Dealer
	CRD # 44542				Floor 15 New York, NY 10001		
25	Mesirow Financial Inc	George Barbar	4557730	561-862-5353	353 North Clark Street	george.baber@mesirow.com	Secondary Dealer
	CRD # 2764	Rick Perez	4241001	561-862-5310	Chicago, IL 60654	rick.perez@mesirow.com	
		Glenn Edmonds	2444511	561-862-5306		glenn.edmonds@mesirow.com	
26	Mizuho Securities	Sean Smith	4038855	212-205-7540	1271 Avenue of the Americas	sean.smith@mizuhogroup.com	Primary Dealer
	CRD # 19647	Kyle Fetherolf	4417971	212-205-7540	New York, NY 10020	kyle.fetherolf@mizuhogroup.com	
27	Moreton Capital Markets	Mark Lewis	1912930	213-223-2059	101 South 200 East	mark.lewis@moretoncm.com	Secondary Dealer
	CRD # 132643	Larry Lundberg	4500324	801-535-3652	Suite 300	larry@moretoncm.com	
		Ryan Stoker	4066425	801-535-3651	Salt Lake City, UT 84111	ryan@moretoncm.com	
28	Morgan Stanley	Russel C. Kwok	4858963	213-486-8889	1585 Broadway	russell.kwok@morganstanley.com	Primary Dealer
	CRD # 8209	Richard J. Duffy	2059442	213-486-8828	New York, NY 10036	richard.duffy@morganstanley.com	
		Astin V. Pronio	5540485	212-761-0051		astin.pronio@morganstanley.com	

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		Tamara Djurdjevic	3206630	312-706-4295		tamara.pavlovic@morganstanley.com	
29	MUFG CRD # 19685	John Cooke	4780593	212-405-7353	1221 Avenue of the Americas 6th Floor New York, NY 10020-1001	john.cooke@mufgsecurities.com	Secondary Dealer
30	NatWest Market Securities CRD # 11707	Peter Murphy Damon Allen Jonathan Wyson Darren Austin	4417625 2679580 5072335 4672704	203-897-2800 203-897-2800 203-897-2828 203-897-2828	600 Washington Boulevard 7th Floor Stamford, CT 06901	peter.murphy@natwestmarkets.com damon.allen@natwestmarkets.com jonathan.wyson@natwestmarkets.com darren.austin@natwestmarkets.com	Primary Dealer Active Approved for REPO
31	Oppenheimer & Co. CRD # 249	Pierre Watiez Edward Cracchiolo	4116027 5272342	212-667-5095 212-885-4908	85 Broad Street New York, NY 10004	pierre.watiez@opco.com edward.cracchiolo@opco.com	Secondary Dealer
32	Piper Sanders & Co. CRD # 665	Victor Ume-ukeje Jane Fielding	1512919 2503145	415-616-1662 415-616-1681	50 California Street Suite 3100 San Francisco, CA 94111	victor.ume-ukeje@psc.com jane.fielding@psc.com	Secondary Dealer
33	R. Seelaus & Co. CRD # 14974	Benjamin Seelaus Timothy Paster Jeffry Fegenwinter Vincent Sottile Rich Singh Shannon Siwinski	4621898 4227985 1799286 1297727 4026418 2268762	908-273-3011 908-273-3012 908-273-3012 908-273-3012 908-273-3011 908-273-3011	26 Main Street Suite 300 Chatham, NJ 07928	bseelaus@rseelaus.com tpaster@reeselaus.com jfeigenwinter@rseelaus.com vsottile@rseelaus.com rsingh@rseelaus.com sswinski@rseelaus.com	Secondary Dealer
34	Raymond James & Associates CRD # 705	Rosa Schulte Amy Iannella	4414840 1720777	949-365-5850 303-200-1405	880 Carillon Parkway St. Petersburg, FL 33716	rosa.schulte@raymondjames.com amy.iannella@raymondjames.com	Secondary Dealer
35	RBC Capital Markets CRD # 31194	Eric Ajlouny Eric Harounian Griffin Steward Mark Solis Cesar Del Pozo John Di Schiavi	4133186 5485439 6973466 5343360 5023324 6206937	415-445-6351 212-858-7356 212-618-2739 415-445-6360 212-519-8405 212-618-3584	200 Vessey St. New York, NY 10281	eric.ajlouny@rbc.com eric.harounian@rbccm.com griffin.steward@rbccm.com mark.solis@rbc.com cesar.delpozo@rbccm.com john.dischavi@rbccm.com	Primary Dealer Active Approved for REPO
36	Samuel A Ramirez & Co. CRD # 6963	Terence Ryan Greenawalt	4374222	212-378-7137 212-248-0527	61 Broadway 29th Floor New York, NY 10006	ryan.greenawalt@ramirezco.com	Secondary Dealer
37	Siebert Williams Shank CRD # 42568	Charles McAteer David Coard	2250616 1633685	212-373-4265 212-830-4534	100 Wall Street 18th Floor New York, NY 10005	cmcateer@siebertwilliams.com dcoard@siebertwilliams.com	Secondary Dealer
38	Stifel CRD # 793	Vincent Boberski Judy Welker	2578528 1936461	800-786-1284 800-786-2799		boberskii@stifel.com welkerj@stifel.com	Secondary Dealer
39	StoneX CRD # 45993	Lauren Pisauro John A. Tarpey B. Hunter Hill	6199673 2008817 5930475	212-379-5589 972-454-5031 205-414-7310	230 Park Avenue 10th Floor New York, NY 10169	lauren.pisauro@stonex.com john.tarpey@stonex.com hunter.hill@stonex.com	Secondary Dealer
40	TD Securities CRD # 18476	Michael Kahn	2898658	212-827-7123 212-827-2807	1 Vanderbilt Avenue New York, NY 10017	michael.kahn@tdsecurities.com	Primary Dealer
41	Wells Fargo Securities CRD # 126292	Katiana Siatras Travis McLaughlin Rodney Pettersen Ronnell Brown Daniel DiCamillo	5028434 6351358 4098544 6763301 5384152	303-209-3838 402-670-3479 312-574-6452 704-410-4275 312-762-9049	550 South Tryon Street 6th Floor Charlotte, NC 28202	katiana.siatras@wellsfargo.com travis.mclaughlin@wellsfargo.com rodney.pettersen@wellsfargo.com ronnell.brown@wellsfargo.com daniel.dicamillo@wellsfargo.com	Primary Dealer