

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 CRD # 17433	John Tarditi Matt McQuillen Mike DiMeglio Pat Hackett	2672075 2364512 5329038 6769048	646-520-4912 646-520-4911 646-430-8645 646-213-3749	622 Third Avenue 12th Floor New York, NY 10017	jtarditi@academysecurities.com mmcquillen@academysecurities.com mdimeglio@academysecurities.com phackett@academysecurities.com	Secondary Dealer
2 Arbor Research & Trading, LLC CRD # 21313	Max Konzelman	4650920	847-756-3636	22333 Classic Court LakeBarrington, IL 60010	max.konzelman@arborresearch.com	Secondary Dealer
3 ASL Capital Markets CRD # 286115	Michael Weir Jim Levenson	2022699 1526632	203-3882956 203-3882959	600 Summer Street Suite 402 Stamford, CT 06901	michael.weir@asicap.com jim.levenson@alcap.com	Primary Dealer
4 Bancroft Capital CRD # 290665	Steve M. Ivic Harry G. Smith Susan E. Gress Kathleen M. Baltra	1367360 1097780 1100249 5068022	484-373-4737 646-880-8601 484-373-4742 484-373-4741	501 Office Center Drive Suite 130 Fort Washington, PA 19034	svicic@bancroft4vets.com hgsmith@bancroft4vets.com sgress@bancroft4vets.com kbaltra@bancroft4vets.com	Secondary Dealer
5 Bof A Securities Inc CRD # 283942	John Vanderwilt Jonathan Williams Hedi Masuoka	4805367 5299752 2823955	415-913.6907 415-913-6907 415-622-3040	One Bryant Park New York, NY 10036	john.a.vanderwilt@bofa.com jonathon.williams@bofa.com hedi.masuoka@bofa.com	Primary Dealer
6 Barclays Capital CRD # 19714	Matthew Woods Ivan Shen Benjamin Krisnky Alex Hazelton Manish Saraf Frank Dugan Romel Medina Doug Butman	5339611 4645521 5221824 2408034 4592042 1834411 5349466 6812084	312-416-3555 212-412-2112 212-412-2112 212-412-2112 212-412-1495 212-412-2114 212-528-1052 212-412-2114	745 7th Avenue New York, NY 10019	matthew.woods@barclays.com ivan.shen@barclays.com benjamin.krisnky@baarclays.com alex.hazelton@barclays.com manish.saraf@barclays.com frank.dugan@barclays.com romel.medina@barclays.com doug.butman@barclays.com	Primary Dealer
7 BMO Capital Markets CRD # 16686	Shawn Oxenham Bill Pilsbury Tony Pham	4058498 5216534 6179373	415-591-2107 514-591-2110 925-843-8807	151 West 42 Street New York, NY 10036	shawn.oxenham@bmo.com William.pilsbury@bmo.com tony.pham@bmo.com	Primary Dealer Active Approved for REPO
8 BOK Financial Securities CRD # 17530	Blake Murry Justin Close Hal Brown Zach Mills	5441074 5601555 2861849 6634904	918-588-6067 918-594-7735 405-272-2408 918-619-0848	One Williams Center Plaza SE Tulsa, OK 74192	bmurry@bokf.com jclose@bokf.com hbrown@bokf.com Zach.mills@bokf.com	Secondary Dealer
9 Cabera Capital Markets CRD # 10081	Steven Goff Ed O'Connor	5748679 2398152	205-422-3476 215-422-3481	227 W. Monroe Suite 3000 Chicago, IL 60606	sgoff@cabrereacapital.com eonnor@cabreracapital.com	Secondary Dealer
10 Cantor Fitzgerald CRD # 134	Louis Gentilucci Edward Thomas Smith Amrut Dinkar Bharambe Matthew Steven Strambi	1301605 2787180 4748695 6667573	484-531-5144 212-829-5435 212-829-5435 212-915-1394	110 East 59th Street 4th Floor New York, NY 10022	LGentilucci@cantor.com esmith@cantor.com abharambe@cantor.com matthew.strambi@cantor.com	Primary Dealer
11 CastleOak Securities CRD # 125334	Matthew Middendorf Scott Rider	3133237 3168094	216-912-4641 212-6105584	200 Vessey St. 4th Floor New York, NY 10281	mmiddendorf@castleoaklp.com srider@castleoaklp.com	Secondary Dealer
12 CIBC Woris Markets Corp. CRD # 630	Karyne D'Angelis Mendes	3277910	212-885-4773	300 Madison Avenue 5th Floor New York, NY 10017	karyne.dangelismendes@cibc.com	Secondary Dealer
13 Daiwa Capiti Markets CRD # 1576	Andres Tamayo Thomas Moore	4664829 1750761	415-955-8185 212-612-6200	Financial Square 32 Old Ship New York, NY 10005	andres.dandrestamayo@us.daiwacm.com thomas.moore@us.daiwacm.com	Primary Dealer
14 Dexel Hamilton CRD # 143570	Lynn Orenstein Patrick O'Connor John C. Martinko	1938618 4527527 5286067	212-632-0413 646-412-1529 646-412-1511	110 East 42 Steet Suite 1502 New York, NY	lorenstein@drexelhamilton.com poconnor@drexelhamilton.com jmartinko@drexelhamilton.com	Secondary Dealer

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15	FHN Financials CRD # 46346	Heather MacGregor	3099935	305-537-1776	The Main 201 Las Olas Blvd. Suite 1120 Fort Lauderdale, FL 33301	heather.macgregor@fhnfinancial.com	Secondary Dealer
16	Fifth Third Securities CRD # 628	Thomas Short Deb Gellman	4262581 2012105	703-867-7494 646-216-4205	38 Fountain Square Plaza MD 10903p Cincinnati, OH 45202	thomas.short@53.com deb.gellman@53.com	Secondary Dealer
17	Great Pacific Securities CRD # 29251	Garrett Ng Christopher Vinck-Luna	7020736 2447335	714-619-3000 714-619-3000	Suite H-8 Costa Mesa, CA 92626	gng@greatpac.com cvinck@greatpac.com	Secondary Dealer
18	HSBC Securities CRD # 19585	Daniel J Wolff Carl Neuhaus	6650650 4222174	212-525-0200 212-525-0200	452 5th Avenue New York, NY 10018	daniel.x.wolff@us.hsbc.com carl.p.neuhaus@us.hsbc.com	Primary Dealer
19	InspereX LLC CRD # 101420	Daniel Larsen Ian Paetow Jessica Berks	2450797 6370385 4603854	561-361-1269 561-361-1284 561-361-1289	25 SE 4th Avenue Suite 400 Delray Beach, FL 33483	dlarsen@insperex.com ipaetow@insperex.com jberks@insperex.com	Secondary Dealer
20	Jefferies LLC CRD # 2347	Scott Lewis Joseph Triolo	1697540 2765483	404-264-5056 212-284-2182	520 Madison Avenue New York, NY 10022	scott.lewis@jefferies.com jtriolo@jefferies.com	Primary Dealer
21	JP Morgan Securities CRD # 18718	Asher Joseph Elizabeth Jaronczyk James Marten Bridget Schreiber	6200270 5341597 5934722 2282738	212-834-7412 212-272-6795 415-315-5242 415-315-5242	383 Madison Avenue New York, NY 10179	asher.joseph@jpmorgan.com elizabeth.a.jaronczyk@jpmorgan.com james.p.marten@jpmorgan.com bridget.k.schreiber@jpmorgan.com	Primary Dealer
22	KeyBanc Capital Markets CRD # 566	James Boyle Kenneth V Kauftheil Kelly Metheny	2961006 1301973 2886727	415-733-2460 415-733-2460 216-689-7167	1 California St. Suite 2400 San Francisco, CA 94111	jboyle@key.com ken.kauftheil@key.com kmetheny@key.com	Secondary Dealer
23	Loop Capital Markets CRD # 43098	Eileen Piechocki Julie Karr Wade Watson	1642606 1715239 5084410	312-913-4902 312-913-4942 312-913-2270	111 W. Jackson Suite 1900 Chicago, IL 60604	eileen.piechocki@loopcapital.com julie.karr@loopcapital.com wade.watson@loopcapital.com	Secondary Dealer
24	MarketAxess CRD # 44542	Michael Higgins	4015641	212-813-6002	55 Hudson Yards Floor 15 New York, NY 10001	mhiggins@marketaxess.com	Secondary Dealer
25	Mesirow Financial Inc CRD # 2764	George Barbar Rick Perez Glenn Edmonds	4557730 4241001 2444511	561-862-5353 561-862-5310 561-862-5306	353 North Clark Street Chicago, IL 60654	george.baber@mesirov.com rick.perez@mesirov.com glenn.edmonds@mesirov.com	Secondary Dealer
26	Mizuho Securities CRD # 19647	Sean Smith Kyle Fetherolf	4038855 4417971	212-205-7540 212-205-7540	1271 Avenue of the Americas New York, NY 10020	sean.smith@mizuhogroup.com kyle.fetherolf@mizuhogroup.com	Primary Dealer
27	Moreton Capital Markets CRD # 132643	Mark Lewis Larry Lundberg Ryan Stoker	1912930 4500324 4066425	213-223-2059 801-535-3652 801-535-3651	101 South 200 East Suite 300 Salt Lake City, UT 84111	mark.lewis@moretoncm.com larry@moretoncm.com ryan@moretoncm.com	Secondary Dealer
28	Morgan Stanley CRD # 8209	Russel C. Kwok Richard J. Duffy Astin V. Pronio Tamara Djurdjevic	4858963 2059442 5540485 3206630	213-486-8889 213-486-8828 212-761-0051 312-706-4295	1585 Broadway New York, NY 10036	russell.kwok@morganstanley.com richard.duffy@morganstanley.com astin.pronio@morganstanley.com tamara.pavlovic@morganstanley.com	Primary Dealer
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

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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	hseelaus@rseelaus.com tpaster@reeslaus.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 Carilton 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.dischiavi@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.greenwalt@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		boberski@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