

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@aslcap.com Jim.levenson@alcap.com	Primary Dealer
4 Bancroft Capital CRD # 290665	Steve M. Ivcic 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	sivcic@bancroft4vets.com hgsmith@bancroft4vets.com sgress@bancroft4vets.com kbaltra@bancroft4vets.com	Secondary Dealer
5 Bof A Securities Inc CRD # 283942	Julia Erickson	1411581	312-234-4562	One Bryant Park New York, NY 10036	Julie.a.erickson@bofa.com	Primary Dealer
6 Barclays Capital CRD # 19714	Peter Bjursten Matthew Woods Ivan Shen Benjamin Krisnky Alex Hazelton Manish Saraf Frank Dugan Rommel Medina Doug Butman	2497396 5339611 4645521 5221824 2408034 4592042 1834411 5349466 6812084	415-263-3370 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	peter.bjursten@barclays.com matthew.woods@barclays.com ivan.shen@barclays.com benjamin.krisnky@baarcays.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 Paul Montaquila	4058498 5216534 6179373 2187454	415-591-2107 514-591-2110 925-843-8807 415-591-2106	151 West 42 Street New York, NY 10036	shawn.oxenham@bmo.com William.pilsbury@bmo.com tony.pham@bmo.com paul.montaquila@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	1301605	484-531-5144	110 East 59th Street 4th Floor New York, NY 10022	LGentilucci@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 Worls Markets Corp. CRD # 630	Karyne D'Angelis Mendes Seo Young Yun	3277910 6188400	212-885-4773 212-856-6773	300 Madison Avenue 5th Floor New York, NY 10017	karyne.dangelismendes@cibc.com seo.dyoungyun@crd.com	Secondary Dealer
13 Daiwa Capitl 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.diaiwacm.com	Primary Dealer

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	FIRM	NAME	FINRA CRD #	PHONE	ADDRESS	E-MAIL	PRIMARY / SECONDARY
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
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@fhnfinancail.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	Leah Belfiore Christopher Vinck-Luna	5789203 2447335	714-619-3000 714-619-3000	151 Kalmus Drive Suite H-8 Costa Mesa, CA 92626	lbelfiore@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@inserex.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 # 079	Asher Joseph Elizabeth Jaroncyk James Marten	6200270 5341597 5934722 2282738	212-834-7412 212-272-6795 415-315-5242 415-315-5242	383 Madison Avenue New York, NY 10179	asher.j.joseph@jpmorgan.com elizabeth.a.jaroncyk@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 Patrick Leary	2961006 1301973 2886727 4732978	415-733-2460 415-733-2460 216-689-7167 650-760-8124	1 California St. Suite 2400 San Francisco, CA 9411	jjboyle@key.com ken.kauftheil@key.com kmetheny@key.com patrick.leary@loopcapital.com	Secondary Dealer
23	Loop Capitl 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	2008817	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 Clarck Street Chicago, IL 60654	george.baber@mesirow.com rick.perez@mesirow.com glenn.edmonds@mesirow.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	john.cooke@mufgsecurities.com	Secondary Dealer

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					New York, NY 10020-1001		
30	NatWest Market Securities	Peter Murphy	4417625	203-897-2800	600 Washington Boulevard	peter.murphy@natwestmarkets.com	Primary Dealer
	CRD # 11707	Damon Allen	2679580	203-897-2800	7th Floor	damon.allen@natwestmarkets.com	Active
		Jonathan Wyson	5072335	203-897-2828	Stamford, CT 06901	jonathan.wyson@natwestmarkets.com	Approved for REPO
		Darren Austin	4672704	203-897-2828		darren.austin@natwestmarkets.com	
31	Oppenheimer & Co.	Pierre Watiez	4116027	212-667-5095	85 Broad Street	pierre.watiez@opco.com	Secondary Dealer
	CRD # 249	Edward Cracchiolo	5272342	212-885-4908	New York, NY 10004	edward.cracchiolo@opco.com	
32	Piper Sanders & Co.	Victor Ume-ukeje	1512919	415-616-1662	50 California Street	victor.ume-ukeje@psc.com	Secondary Dealer
	CRD # 665	Jane Fielding	2503145	415-616-1681	Suite 3100	jane.fielding@psc.com	
					San Francisco, CA 9411		
33	R. Seelaus & Co.	Benjamin Seelaus	4621898	908-273-3011	26 Main Street	bseelaus@rseelaus.com	Secondary Dealer
	CRD # 14974	Timothy Paster	4227985	908-273-3012	Suite 300	tpaster@reeslaus.com	
		Jeffrey Fegenwinter	1799286	908-273-3012	Chatham, NJ 07928	jfeigenwinter@rseelaus.com	
		Vincent Sottile	1297727	908-273-3012		vsottile@rseelaus.com	
		Rich Singh	4026418	908-273-3011		rsingh@rseelaus.com	
		Shannon Siwinski	2268762	908-273-3011		sswinski@rseelaus.com	
34	Raymond James & Associates	Rosa Schulte	4414840	949-365-5850	880 Carillon Parkway	rosa.schulte@raymondjames.com	Secondary Dealer
	CRD # 705	Amy Iannella	1720777	303-200-1405	St. Petersburg, FL 33716	amy.iannella@raymondjames.com	
35	RBC Capital Markets	Eric Ajlouny	4133186	415-445-6351	200 Vessey St.	eric.ajlouny@rbc.com	Primary Dealer
	CRD # 31194	Eric Harounian	5485439	212-858-7356	New York, NY 10281	eric.harounian@rbccm.com	Active
		Cesar Del Pozo	5023324	212-519-8405		cesar.delpozo@rbccm.com	Approved for REPO
		Ohn Choe	6334643	212-858-7393		ohn.choe@rbccm.com	
		John Di Schiavi	6206937	212-618-3584		john.dischavi@rbccm.com	
36	Samuel A Ramirez & Co.	Terence Ryan Greenawalt	4374222	212-378-7137	61 Broadway	ryan.greenawalt@ramirezco.com	Secondary Dealer
	CRD # 6963	Aaron Brighenti	2769145	212-248-0527	29th Floor	aaron.brighenti@ramirezco.com	
					New York, NY 10006		
37	Siebert Williams Shank	Charles McAteer	2250616	212-373-4265	100 Wall Street	cmcateer@siebertwilliams.com	Secondary Dealer
	CRD # 42568	David Coard	1633685	212-830-4534	18th Floor	dcoard@siebertwilliams.com	
					New York, NY 10005		
38	Stifel	Bill Blackwill	1554624	949-234-2349	501 N Broadway	blackwillb@stifel.com	Secondary Dealer
	CRD # 4257945	Hilary Neiman	4458652	312-759-1773	St. Louis, MO 63102	neimsnh@stifel.com	
39	StoneX	Lauren Pisauro	6199673	212-379-5589	230 Park Avenue	lauren.pisauro@stonex.com	Secondary Dealer
	CRD # 45993	Ali Selby	5175500	212-379-5579	10th Floor	ali.selby@stonex.com	
		B. Hunter Hill	5390475	205-414-7310	New York, NY 10169	hunter.hill@stonex.com	
40	TD Securities	Michael Kahn	2898658	212-827-7123	1 Vanderbilt Avenue	michael.kahn@tdsecurities.com	Primary Dealer
	CRD # 18476	Jake Levine	6658551	212-827-2807	New York, NY 10017	jake.levine@tdsecurities.com	
41	Wells Fargo Securities	Katiana Siatras	5028434	303-209-3838	550 South Tryon Street	katiana.siatras@wellsfargo.com	Primary Dealer
	CRD # 126292	Travis McLaughlin	6351358	402-670-3479	6th Floor	travis.mclaughlin@wellsfargo.com	
		Rodney Pettersen	4098544	312-574-6452	Charlotte, NC 28202	rodney.pettersen@wellsfargo.com	
		Ronnell Brown	6763301	704-410-4275		ronnell.brown@wellsfargo.com	
		Daniel DiCamillo	5384152	312-762-9049		daniel.dicamillo@wellsfargo.com	