

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@slcap.com jim.levenson@slcap.com | Primary Dealer |
| 4 | Bancroft Capital CRD # 290665 | Steve M. Ivicic 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 hsmith@bancroft4vets.com sgress@bancroft4vets.com kbaltra@bancroft4vets.com | Secondary Dealer |
| 5 | BofA Securities Inc CRD # 283942 | John Vanderwilt Jonathon 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@barclays.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 Pitsbury 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.pitsbury@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@cabreracapital.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 World Markets Corp. CRD # 630 | Karyne D'Angelis Mendes Leigh-Anne K. Stordy Michael Sherman Philip J. Daniel | 3277910 6763505 2364913 5829681 | 212-885-4773 212-885-4472 212-885-4375 212-667-7170 | 300 Madison Avenue 5th Floor New York, NY 10017 | karyne.dangelismendes@cibc.com leigh-anne.stordy@cibc.com michael.sherman@cibc.com philip.daniel@cibc.com | Secondary Dealer |
| 13 | Daiwa Capital 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 | Drexel 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 |

NewMexico State Treasurer's Office
Final Broker-Dealer List
Fiscal Year 2024 and 2025

| | FIRM | NAME | FINRA CRD # | PHONE | ADDRESS | E-MAIL | PRIMARY / SECONDARY |
|----|---|--|--|--|--|--|---|
| 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 | 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 Jaroncyk 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.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 Kautheil 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.kautheil@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 2058442 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 |

NewMexico State Treasurer's Office
Final Broker-Dealer List
Fiscal Year 2024 and 2025

| | FIRM | NAME | FINRA CRD # | PHONE | ADDRESS | E-MAIL | PRIMARY / SECONDARY |
|----|--|---|--|--|---|--|---|
| 32 | Piper Sandler & 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@rseelaus.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.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.greenawalt@ramirezco.com | Secondary Dealer |
| 37 | Siebert Williams Shank & Co. 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 Financial Corp. CRD # 793 | Vincent Boberski Judy Welker Michael Kahn | 2578528 1936461 2898658 | 800-786-1284 800-786-2799 973-549-4244 | | boberski@stifel.com welkerj@stifel.com kahn@stifel.com | Secondary Dealer |
| 39 | StoneX Financial Inc. 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 | Jillian Lundstrom | 7075898 | 212-827-7147 212-827-2807 | 1 Vanderbilt Avenue New York, NY 10017 | jillian.lundstrom@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 |