

**New Mexico State Treasurer's Office
Broker-Dealer List
Fiscal Years 2020 and 2021**

APPROVED LIST FOR FY20/21

Revision date: 9/24/2019

#	Firm	Name	FINRA CRD #	Phone	Address	E-mail	Primary / Secondary	
1	Academy Securities CRD # 17433	Matt McQuillen	2364512	646-520-4911	2 Grand Central Tower	mmcquillen@academysecurities.com	Secondary Dealer	
		Joe Tarditi	2672075	646-520-4912	140 E 45th St, 5th Floor New York, NY 10017	jtarditi@academysecurities.com		
2	Arbor Research & Trading, LLC CRD # 21313	Gray Smith	1877575	847-756-3503	1000 Hart Rd, Ste 260	g.smith@arborresearch.com	Secondary Dealer	
		Chris Heller	242259	847-756-3524	Barrington, IL 60010	chris.heller@arborresearch.com		
3	Bancroft Capital, LLC CRD # 290665	Harry G Smith	1097780	646-880-8601	501 Office Center Dr. Ste 130	hgsmith@bancroft4vets.com	Secondary Dealer	
		Kate Baltra	5068022	484-373-4741	Fort Washington, PA 19034	kbaltra@bancroft4vets.com		
		Sue Gress	1100249	484-373-4742		sgress@bancroft4vets.com		
		Steve Ivicic	1367360	484-373-4737		sivicic@bancroft4vets.com		
4	Barclays Capital CRD # 19714	Peter Bjursten	2497396	415-263-3370	745 7th Avenue New York, NY 10019	peter.bjursten@barclays.com	Primary Dealer	
5	BB&T Securities CRD # 142785	Thomas (Tom) Short	4262581	804-644-7686	901 East Byrd Street, Suite 300	tshort@bbandtcm.com	Secondary Dealer	
		Peter De Groot	1657937	804-649-3913	Richmond, VA 23219	pdegroot@bbandtcm.com		
6	BMO Capital Markets Corp. CRD # 16686	Jessica Youstra	2557084	312-845-2685	3 Times Square	jessica.youstra@bmo.com	Primary Dealer	
		Mary Cerrone	1715818	312-461-3866	New York, NY 10036	mary.cerrone@bmo.com		
		Adam Bramson	4754068	312-845-2694		adam.bramson@bmo.com		APPROVED FOR REPO
		Elena Perez	6594936	312-845-4130		elena.perez@bmo.com		
7	BOK Financial Securities, Inc. CRD # 17530	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		
8	Cantor Fitzgerald & Co. CRD # 134	Andrew Davidoff	1121622	949-508-1136	110 E 59th St., 4th Floor New York, NY 10022	Andrew.Davidoff@cantor.com	Primary Dealer	
9	CastleOak Securities, LP CRD # 125334	Matthew Middendorf	3133237	216-912-4641	110 E 59th St. 2nd Floor	mmiddendorf@castleoaklp.com	Secondary Dealer	
		Scott Rider	3168094	212-610-5584	New York, NY 10022	srider@castleoaklp.com		
		Daniel Davis	2193201	212-610-5593		ddavis@castleoaklp.com		
10	CIBC World Markets Corp CRD # 630	Joseph Notaro	4703068	212-856-4268	300 Madison Ave. New York, NY 10017	joseph.notaro@cibc.com	Secondary Dealer	
11	Daiwa Capital Markets America Inc. CRD # 1576	Andres (Andy) Tamayo	4664829	415-955-8185	32 Old Slip	andres.tamayo@us.daiwacm.com	Primary Dealer	
		Thomas Moore	1750761	212-612-6200	New York, NY 10005-3538	thomas.moore@us.daiwacm.com		
12	Deutsche Bank CRD # 2525	Frank Rice	1972699	212-250-8535	60 Wall Street	frank.rice@db.com	Primary Dealer	
		Mark Shaughnessy	1493721	212-250-8535	New York, NY 10005	mark.shaughnessy@db.com		
		Damien Boiardi	5324510	212-250-8535		damien.boiardi@db.com		
		Greg Sirochinsky	4742613	212-250-8535		greg.sirochinsky@db.com		APPROVED FOR REPO

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13	FTN Financial Capital Markets CRD # 46346	Heather MacGregor	3099935	305-537-1776	1691 Michigan Avenue, Suite 210 Miami Beach, FL 33139	heather.macgregor@ftnfinancial.com	Secondary Dealer
14	Guggenheim Securities LLC CRD # 40638	Michael Skinner Dion Waldow	2784577 2194084	212-457-7695 212-457-7696	330 Madison Avenue New York, NY 10017	Michael.Skinner@Guggenheimpartners.com Dion.Waldow@Guggenheimpartners.com	Secondary Dealer
15	HSBC Securities USA Inc. CRD # 19585	Elizabeth Harris Jason Apostolides	4877648 5168501	212-525-0200 212-525-0200	452 Fifth Avenue, 10th Floor New York, NY 10018	elizabeth.a.harris@us.hsbc.com jason.j.apostolides@us.hsbc.com	Primary Dealer APPROVED FOR REPO
16	Incapital LLC CRD # 101420	Chad Nicholson Claude Seide	2599461 3196432	415-464-2275 561-361-1222	200 S. Wacker Dr. Ste 3700 Chicago, IL 60606	cnicholson@incapital.com cseide@incapital.com	Secondary Dealer
17	INTL FCStone Financial Inc. CRD # 41025	Meghan Suriani Alexandra Atkins (Selby)	5158957 5175500	877-391-8810 800-531-3321	530 Fifth Ave., 15th Floor New York, NY 10036	meghan.suriani@intlfcstone.com Ali.Selby@intlfcstone.com	Secondary Dealer
18	Jefferies LLC CRD # 2347	Scott Lewis	1697540	404-264-5056	520 Madison Ave. New York, NY 10022	Scott.Lewis@jefferies.com	Primary Dealer APPROVED FOR REPO
19	KeyBanc Capital Markets CRD # 566	James Boyle	2961006	415-733-2460	127 Public Square Cleveland, OH 44114	jjboyle@key.com	Secondary Dealer
20	Loop Capital Markets LLC CRD # 43098	Eileen Piechocki Julie Karr Tony Coates Wade Watson	1642606 1715239 2165903 5084410	312-913-4902 312-913-4942 312-356-5894 312-913-2270	111 W. Jackson Ste 1901 Chicago, IL 60604	eileen.piechocki@loopcapital.com julie.karr@loopcapital.com tony.coates@loopcapital.com wade.watson@loopcapital.com	Secondary Dealer
21	Mizuho Securities USA LLC CRD # 19647	Sean Smith Kyle Fetherolf	4038855 4417971	212-205-7540 212-205-7540	320 Park Ave New York, NY 10022	sean.smith@mizuhogroup.com kyle.fetherolf@mizuhogroup.com	Primary Dealer APPROVED FOR REPO
22	Morgan Stanley CRD # 8209	Justin Baker Ernie Marchosky	4938937 1175185	213-486-8883 213-486-8880	1585 Broadway New York, NY 10036-8293	Justin.Baker@ms.com Ernest.Marchosky@ms.com	Primary Dealer
23	MUFG Securities Americas Inc. (Mitsubishi UFG Securities) CRD # 19685	David Brown Joseph DiMartino Anthony Tarabocchia	1606432 2313315 4835589	212-405-7428 212-405-7455 212-405-7454	1221 Ave. of the Americas, 6th Fl New York, NY 10020-1001	david.brown@mufgsecurities.com joseph.dimartino@mufgsecurities.com anthony.tarabocchia@mufgsecurities.com	Secondary Dealer Secondary Dealer APPROVED FOR REPO
24	Mutual Securities CRD # 13092	Mark Lewis Randy Carson	1912930 872114	213-223-2059 805-764-6740	633 W 5th St., 26th Floor Los Angeles, CA 90071	mark.lewis@mutualsecurities.com randy.carson@mutualhq.com	Secondary Dealer
25	NatWest Markets CRD # 11707	David R. Drennen Avi Kwalwasser Damon Allen	4816041 4277304 2679580	203-897-2800 203-897-6083 203-897-2828	600 Washington Boulevard Stamford, CT 06901	David.Drennen@natwestmarkets.com Avi.Kwalwasser@natwestmarkets.com Damon.Allen@natwestmarkets.com	Primary Dealer APPROVED FOR REPO

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26	Piper Jaffray & Co	Victor Ume-Ukeje	1512919	415-616-1662	50 California St. Ste. 3100	Victor.E.Ume-Ukeje@pjc.com	Secondary Dealer
	CRD # 665	Jane Fielding	2503145	415-616-1681	San Francisco, CA 94111	Jane.K.fielding@pjc.com	
27	RBC Capital Markets	Eric Ajlouny	4133186	415-445-8351	200 Vesey St.	eric.ajlouny@rbc.com	Primary Dealer
	CRD # 31194	Eric Harounian	5485439	212-858-7356	New York, NY 10281	eric.harounian@rbccm.com	
		David Attanasio	2649910	212-858-7276		dacid.attanasio@rbccm.com	
		Cesar Del Pozo	5023324	212-519-8405		cesar.delpozo@rbccm.com	
		Ohn Choe	6334643	212-858-7393		ohn.choe@rbccm.com	
28	Robert W. Baird & Co.	Larry Serota	1414715	713-296-8013	777 E. Wisconsin Ave.	lserota@rwbaird.com	Secondary Dealer
	CRD # 8158	Cynthia (Cindi) Stewart	1264114	713-296-8017	Milwaukee, WI 53202	cstewart@rwbaird.com	
29	Samuel A. Ramirez & Co., Inc.	T. Ryan Greenawalt	4374222	212-378-7137	61 Broadway, 29th Floor	ryan.greenawalt@ramirezco.com	Secondary Dealer
	CRD # 6963	Aaron Brighenti	2769145	212-248-0527	New York, NY 10006	aaron.brighenti@ramirezco.com	
30	Stifel, Nicolaus & Company, Inc.	Bill Blackwell	1554624	949-234-2349	201 North Broadway	blackwillb@stifel.com	Secondary Dealer
	CRD # 4257945	Hillary Neiman	4458652	312-759-1773	St Louis, MO 63102	neimanh@stifel.com	
31	TD Securities (USA) LLC	Chanel Vicini	5939418	212-827-7169	31 W 52nd St.	chanel.vicini@tdsecurities.com	Primary Dealer
	CRD # 18476	Michael Kahn	2898658	212-827-7123	New York, NY 10019	michael.kahn@tdsecurities.com	
		Michael Watt	4495533	212-827-8237		michael.watt@tdsecurities.com	
32	The Williams Capital Group LP	Charles McAteer	2250616	212-373-4265	650 Fifth Ave., 9th Floor	mcateer@willcap.com	Secondary Dealer
	CRD # 35149				New York, NY 10019		
33	Vining Sparks IBG, LP	Jaime Loftin Picunko	4195526	901-762-5852	775 Ridge Lake Blvd	jloftin@viningsparks.com	Secondary Dealer
	CRD # 27502	Demetri Patikas	2601622	901-762-5314	Memphis, TN 38120	dpatikas@viningsparks.com	
		Judy Welker	1936461	901-766-3065		jwelker@viningsparks.com	
34	Wells Fargo Securities LLC (WFS)	Doug Safford	1624288	602-378-4002	550 S. Tryon St. 6th Fl.	safford@wellsfargo.com	Primary Dealer
	CRD # 126292	Brian Warden	3232888	602-378-6677	Charlotte, NC 28202	brian.warden@wellsfargo.com	

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