

**New Mexico State Treasurer's Office  
Broker-Dealer List  
Fiscal Years 18 and 19**

List in effect through 6/30/2019

Revison date: 8/29/2018

#	Firm	Name	FINRA CRD #	Phone	Address	E-mail	Primary / Secondary
1	<b>Academy Securities</b> CRD # 17433	Gregory Reynolds	4722323		277 Park Avenue, 35th Floor	greynolds@academysecurities.com	Secondary Dealer
		Stephen Chaires	4560892	919-960-0807	New York, NY 10172	schaire@academysecurities.com	
2	<b>Barclays Capital</b> CRD # 19714	Peter Bjursten	2497396	415-263-3370	745 7th Avenue New York, NY 10019	peter.bjursten@barclays.com	Primary Dealer
		Thomas (Tom) Short	4262581	804-644-7686	901 East Byrd Street, Suite 300	tshort@bbandtcm.com	Secondary Dealer
3	<b>BB&amp;T Securities</b> 16686	Jose Fernandez	2815076	804-649-3947	Richmond, VA 23219	jfernandez@bbandtcm.com	Secondary Dealer
		Jessica Youstra	2557084	312-845-2685	3 Times Square	jessica.youstra@bmo.com	Primary Dealer
4	<b>BMO Capital Markets Corp.</b> CRD # 16686	Mary Cerrone	1715818	312-461-3866	New York, NY 10036	mary.cerrone@bmo.com	APPROVED FOR REPO
		Adam Bramson	4754068	312-845-2694		adam.bramson@bmo.com	
		Elena Perez	6594936			elena.perez@bmo.com	
5	<b>BOK Financial Securities, Inc.</b> 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	
6	<b>Cantor Fitzgerald &amp; Co.</b> CRD # 134	Kate McHale-Ogawa	3096922	212-829-4888	110 East 59th Street, 4th Floor	kogawa@cantor.com	Primary Dealer
		Jaff Salim	4540267	303-385-8641	New York, NY 10022	jsalim@cantor.com	
7	<b>CastleOak Securities, L.P.</b> CRD # 125334	Matthew Middendorf	3133237	216-912-4641	110 East 59th Street 2nd Floor	mmiddendorf@castleoaklp.com	Secondary Dealer
		Scott Rider	3168094	212-610-5584	New York, NY 10022	s rider@castleoaklp.com	
		Dan Davis	2193201	212-610-5593		ddavis@castleoaklp.com	
8	<b>Citigroup Global Markets Inc.</b> CRD # 7059	Ryan Harris	4372086	404-842-2471	390 Greenwich Street	ryan.m.harris@citi.com	Primary Dealer
		Chris Vaky	5661405	404-842-2460	New York, NY 10013	christopher.vaky@citi.com	
		Bradley Ladden	1383210	404-842-2457		bradley.ladden@citi.com	
9	<b>Daiwa Capital Markets America Inc.</b> CRD # 1576	Andres (Andy) Tamayo	4664829	415-955-8185	32 Old Slip New York, NY 10005-3538	andres.tamayo@us.daiwacm.com	Primary Dealer
		Frank Rice	1972699	212-250-8535	60 Wall Street	frank.rice@db.com	Primary Dealer
10	<b>Deutsche Bank Securities—DBSI</b> CRD # 2525	Mark Shaughnessy	1493721	212-250-8535	New York, NY 10005	mark.shaughnessy@db.com	APPROVED FOR REPO
		Jim McNichol	5381388	212-250-8535		james.mcnichol@db.com	
11	<b>Drexel Hamilton, LLC</b> CRD # 143570	Harry Smith	1097780	212-632-0415	601 Walnut Street, Suite 670	hsmith@drexelhamilton.com	Secondary Dealer
		John Glynn	718798		Philadelphia, PA 19106	jglynn@drexelhamilton.com	
12	<b>FTN Financial Capital Markets</b> CRD # 46346	Heather MacGregor	3099935	305-537-1776	1691 Michigan Avenue, Suite 210 Miami Beach, FL 33139	heather.macgregor@ftnfinancial.com	Secondary Dealer
		Tim Zarlengo	706292	303-391-5435	4801 Main Street, Suite 500	zarlengo@gkbaum.com	Secondary Dealer
13	<b>George K. Baum &amp; Company</b> CRD # 36354	Edmund Steinauer	707909	303-391-5557	Kansas City, MO 64112	steinauer@gkbaum.com	Secondary Dealer
		Marc Dispense	4655410	303-391-5438		dispense@gkbaum.com	
		Margaret (Peggy) Monckton	1378068	303-391-5437		monckton@gkbaum.com	
14	<b>Guggenheim Securities LLC</b> CRD # 40638	Michael Skinner	2784577	212-457-7695	330 Madison Avenue	Michael.Skinner@Guggenheimpartners.com	Secondary Dealer
		Dion Waldow	2194084	212-457-7696	New York, NY 10017	Dion.Waldow@Guggenheimpartners.com	
15	<b>Hilltop Securities Inc.</b> CRD # 6220	Linda Callaway	1364037	800-842-8008	300 West 6th Street, Suite 1940	linda.callaway@hilltopsecurities.com	Secondary Dealer
		Michelle (Shelly) Rubin	1214639	800-842-8008	Austin TX 78701	shelley.rubin@hilltopsecurities.com	
16	<b>HSBC Securities USA Inc.</b> CRD # 19585	Elizabeth Harris	4877648	212-525-0200	452 Fifth Avenue, 10th Floor	elizabeth.a.harris@us.hsbc.com	Primary Dealer
		Jason Apostolides	5168501	212-525-0200	New York, NY 10018	jason.j.apostolides@us.hsbc.com	

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17	<b>INTL FCStone Financial, Inc.</b> CRD # 45993	Meghan Suriani	5158957	877-391-8810	1633 Broadway, 28th Floor	Meghan.Suriani@intlfcstone.com	Secondary Dealer
		Molly Galvin	6105861	212-379-5566	New York, NY 100019	Molly.galvin@intlfcstone.com	
		Lauren Pisauro (Admin Backup)	6199673			lauren.pisauro@intlfcstone.com	
18	<b>Jefferies LLC</b> CRD #2347	Andrew Davidoff	1121622	310-575-5161	520 Madison Ave, 8th Floor	adavidoff@jefferies.com	Primary Dealer
		Brett Vaughan	5005595	212-284-3484	New York, NY 10022	bvaughan@jefferies.com	APPROVED FOR REPO
19	<b>KeyBanc Capital Markets</b> CRD # 566	James Boyle	2961006	415-733-2460	127 Public Square	jjboyle@key.com	Secondary Dealer
		Terri Rourke	869129	415-733-2460	Cleveland, OH 44114	trourke@key.com	
20	<b>Loop Capital Markets</b> CRD # 43098	Eileen Piechocki	1642606	312-913-4902	111 West Jackson , Suite 1901	Eileen.piechocki@loopcapital.com	Secondary Dealer
		Wade Watson	5084410	312-913-2270	Chicago IL 60604	Wade.watson@loopcapital.com	
		Tony Coates	2165903	312-356-5894		tony.coates@loopcapital.com	
21	<b>MFR Securities</b> CRD # 36308	John Michael Bannon	2479579	212-416-5072	630 Third Avenue, 12th Floor	jbannon1@mfr.com	Secondary Dealer
		Monique Tommaro	2001048	212-416-5023	New York, NY 10017	monique@mfr.com	
22	<b>MUFG Securities Americas Inc.</b> (Mitsubishi UFG Securities) CRD # 19685	David Brown	1606432	212-405-7428	1221 Avenue of the Americas, 6th Fl	dbrown@us.sc.mufg.jp	Secondary Dealer
		Joseph DiMartino	2313315	212-405-7455	New York, NY 10020-1001	jdmartino@us.sc.mufg.jp	APPROVED FOR REPO
		Jeffrey Estremera	4983768	212-405-7483		jestremera@us.sc.mufg.jp	
		Anthony Tarabocchia	4835589	212-405-7454		atarabocchia@us.sc.mufg.jp	
23	<b>Mizuho Securities USA Inc.</b> CRD# 19647	Sean Smith	4038855	212-205-7540	320 Park Avenue, 11th Floor	sean.smith@us.mizuho-sc.com	Primary Dealer
		Kyle Fetherolf	4417971	212-205-7540	New York, NY 10022	kyle.fetherolf@us.mizuho-sc.com	APPROVED FOR REPO
		Scott Borecki	19647	212-205-7540		Scott.borecki@us.mizuho-sc.com	
24	<b>Morgan Stanley Smith Barney LLC</b> CRD #149777	Ernest Marchosky	1175185	213-486-8880	2000 Westchester Avenue	Ernest.Marchosky@morganstanley.com	Primary Dealer
		Justin C. Baker	4938937	213-486-8883	Purchase, NY 10577	Justin.Baker@morganstanley.com	
25	<b>Mutual Securities, Inc.</b> CRD # 13092	William (Mark) Lewis	1912930	310-270-5476	100 Spectrum Center Drive, St. 900 Irvine, CA 92618	mark.lewis@mutualsecurities.com	Secondary Dealer
26	<b>Raymond James &amp; Associates Inc.</b> CRD # 705	Marshall Clark	2057778	901-529-5350	880 Carillon Pkwy ST	marshall.clark@raymondjames.com	Secondary Dealer
		Ryan Ehrhart	3073508	901-579-4811	St. Petersburg FL 33716	ryan.ehrhart@raymondjames.com	
27	<b>RBC Capital Markets</b> CRD # 31194	David Attanasio (REPO)	2649910	212-858-7276	200 Vesey Street	david.attanasio@rbccm.com	Primary Dealer
		Richard Yemm (REPO)	2944377	212-858-7231	New York, NY 10281	richard.yemm@rbccm.com	APPROVED FOR REPO
		Amanda Colon (Admin Backup)	6378332	212-858-7295		amanda.colon@rbccm.com	
		Gregg Gluberman (REPO)	2783817	212-618-3591		gregg.gluberman@rbccm.com	
		Cesar Del Pozo	5023324	866-952-5391		cesar.delpozo@rbccm.com	
		Walter Hall (TRADES)	1496104	866-952-5391		walter.hall@rbc.com	
		Eric Ajlouny (TRADES)	4133186	866-952-5391		eric.ajlouny@rbc.com	
		Mark Solis (TRADES)	5343360	866-952-5391		mark.solis@rbc.com	
28	<b>NatWest Markets</b> <i>fka RBS Securities Inc</i> CRD # 11707	David R. Drennen	4816041	203-897-2800	600 Washington Boulevard	David.Drennen@natwestmarkets.com	Primary Dealer
		Avi Kwalwasser	4277304	203-897-6083	Stamford, CT 06901	Avi.Kwalwasser@natwestmarkets.com	APPROVED FOR REPO
		Damon Allen	2679580	203-897-2828		Damon.Allen@natwestmarkets.com	
29	<b>Robert W. Baird &amp; Co.</b> CRD # 8158	Larry Serota	1414715	713-296-8013	4400 Post Oak Parkway, Suite 2300	lserota@rwbaird.com	Secondary Dealer
		Cynthia (Cindi) Stewart	1264114	713-296-8017	Houston, TX 77027	cstewart@rwbaird.com	
30	<b>Samuel A. Ramirez &amp; Co., Inc.</b> CRD # 6963	T. Ryan Greenawalt	4374222	212-378-7137	61 Broadway, 29th Floor	ryan.greenawalt@ramirezco.com	Secondary Dealer
		Tracy Marcus	2617183	212-378-7122	New York, NY 10006	tracy.marcus@ramirezco.com	

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31	<b>Stifel, Nicolaus &amp; Company, Inc.</b> CRD # 793	Bill Blackwill	1554624	949-234-2349	201 North Broadway	blackwillb@stifel.com	Secondary Dealer
		Hillary Neiman	4458652	812-759-1773	St Louis, MO 63102	neimanh@stifel.com	
32	<b>Suntrust Robinson Humphrey, Inc.</b> CRD # 6271	Lauren Drennan	5921382	901-842-3799	850 Ridge Lake Boulevard, Suite 400	lauren.drennan@suntrust.com	Secondary Dealer
		Mairead Deehan	4722645	901-842-3684	Memphis, TN 38120	mairead.deehan@suntrust.com	
		Robert Stearns	2718855	901-842-3764		robert.stearns@suntrust.com	
33	<b>TD Securities (USA) LLC</b> CRD # 18476	Chanel Soto	5939418	212-827-7169	31 West 52nd Street	chanel.soto@tdsecurities.com	Primary Dealer
		Michael Kahn	2898658	212-827-7123	New York, NY 10019-6101	michael.kahn@tdsecurities.com	
		Steve Gavula	5070511	212-827-7872		Stephen.Gavula@TDSecurities.com	
34	<b>UMB Bank, n.a.</b> CRD # 17073	Jeffrey Steiner	2498701	214-389-5932	1010 Grand Boulevard	Jeffrey.Steiner@umb.com	Secondary Dealer
		Jeffrey Duchin	2804999	214-389-5927	Kansas City, MO 64106	Jeffrey.Duchin@umb.com	
35	<b>Vining Sparks IBG, LP</b> CRD # 27502	Jaime Loftin Picunko	4195526	901-762-5852	775 Ridge Lake Blvd	jloftin@viningsparks.com	Secondary Dealer
		Demetri Patikas	2601622	901-762-5314	Memphis, TN 38120	dpatikas@viningsparks.com	
		Judy Welker	1936461	901-766-3065		jwelker@viningsparks.com	
36	<b>Wells Fargo Securities, LLC</b> CRD # 126292	Douglas Safford	1624288	602-378-4002	550 South Tryon Street, 6th Floor	safford@wellsfargo.com	Primary Dealer
		Brian Warden	3232888	602-378-6677	Charlotte NC 28027	Brian.Warden@wellsfargo.com	
37	<b>Williams Capital Group, L.P.</b> CRD # 35149	Charles McAteer	2250616	212-373-4265	650 Fifth Avenue, Floor 9	mcateer@willcap.com	Secondary Dealer
		Janice Savin Williams	1276382	212-830-4532	New York, NY 10019	savin@willcap.com	