

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

APPROVED LIST FOR FY20/21

Revision date: 11/23/2020

#	Firm	Name	FINRA CRD #	Phone	Address	E-mail	Primary / Secondary	
1	Academy Securities	Matt McQuillen	2364512	646-520-4911	2 Grand Central Tower	mrmcquillen@academysecurities.com	Secondary Dealer	
		CRD # 17433	Joe Tarditi	2672075	140 E 45th St, 5th Floor New York, NY 10017	jtarditi@academysecurities.com		
2	Arbor Research & Trading, LLC	Gray Smith	1877575	847-756-3503	1000 Hart Rd, Ste 260	g.smith@arborresearch.com	Secondary Dealer	
		CRD # 21313	Chris Heller	242259	Barrington, IL 60010	chris.heller@arborresearch.com		
3	Bancroft Capital, LLC	Harry G Smith	1097780	646-880-8601	501 Office Center Dr. Ste 130	hgsmith@bancroft4vets.com	Secondary Dealer	
		CRD # 290665	Kate Baltra	5068022	Fort Washington, PA 19034	kbaltra@bancroft4vets.com		
		Sue Gress	1100249	484-373-4742		sgress@bancroft4vets.com		
		Steve Ivcic	1367360	484-373-4737		sivcic@bancroft4vets.com		
4	Barclays Capital	Peter Bjursten	2497396	415-263-3370	745 7th Avenue New York, NY 10019	peter.bjursten@barclays.com	Primary Dealer	
5	BB&T Securities*	Thomas (Tom) Short	4262581	804-644-7686	901 East Byrd Street, Suite 300	tshort@bbandtc.com	Secondary Dealer	
		CRD #	Peter De Groot	1657937	804-649-3913	Richmond, VA 23219		pdegroot@bbandtc.com
6	BMO Capital Markets Corp.	Jessica Youstra	2557084	312-845-2685	3 Times Square	jessica.youstra@bmo.com	Primary Dealer	
		CRD # 16686	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.	Blake Murry	5441074	918-588-6067	One Williams Center Plaza SE	bmurry@bokf.com	Secondary Dealer	
		CRD # 17530	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.	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	Matthew Middendorf	3133237	216-912-4641	110 E 59th St. 2nd Floor	mmiddendorf@castleoaklp.com	Secondary Dealer	
		CRD # 125334	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	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.	Andres (Andy) Tamayo	4664829	415-955-8185	32 Old Slip	andres.tamayo@us.daiwacm.com	Primary Dealer	
		CRD # 1576	Thomas Moore	1750761	212-612-6200	New York, NY 10005-3538		thomas.moore@us.daiwacm.com
12	Deutsche Bank	Mark Shaughnessy	1493721	212-250-8535	New York, NY 10005	mark.shaughnessy@db.com	Primary Dealer	
		CRD # 2525	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	FHN Financial Securities Corp. 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	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
18	J.P. Morgan Securities, LLC CRD # 079	Richard Singh Brittany Guinee	4026418 6658144	212-834-2686 212-834-5718	383 Madison Ave. New York, NY 10179	richard.m.singh@jpmorgan.com brittany.guinee@jpmorgan.com	Primary Dealer
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	MarketAxess Corporation CRD # 44542	John Tarpey	2008817	212-813-6002	55 Hudson Yards Floor 15 New York, NY 10001	JTarpey@Marketaxess.com	Secondary Dealer
22	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
23	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
24	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
25	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 APPROVED FOR REPO

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26	NatWest Markets	David R. Drennen	4816041	203-897-2800	600 Washington Boulevard	David.Drennen@natwestmarkets.com	Primary Dealer	
		CRD # 11707	Avi Kwalwasser	4277304	203-897-6083	Stamford, CT 06901		Avi.Kwalwasser@natwestmarkets.com
			Damon Allen	2679580	203-897-2828		Damon.Allen@natwestmarkets.com	APPROVED FOR REPO
27	Piper Sandler & Co	Victor Ume-Ukeje	1512919	415-616-1662	50 California St. Ste. 3100	victor.ume-ukeje@psc.com	Secondary Dealer	
		CRD # 665	Jane Fielding	2503145	415-616-1681	San Francisco, CA 94111	Jane.K.fielding@psc.com	
28	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	APPROVED FOR REPO
			Ohn Choe	6334643	212-858-7393		ohn.choe@rbccm.com	
29	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	
30	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	
31	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	
32	Siebert Williams Shank & Co, LLC (fka Williams Capital)	Charles McAteer	2250616	212-373-4265	100 Wall Street, 18th Floor	cmcateer@siebertwilliams.com	Secondary Dealer	
		CRD # 35149			New York, NY 10005			
33	StoneX Group Inc. (fka INTL FCStone)	Paul Miller	5508814	312-348-5953	530 Fifth Ave., 15th Floor	paul.miller@intfcstone.com	Secondary Dealer	
		CRD # 41025			New York, NY 10036			
34	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	
35	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	
35	Wells Fargo Securities LLC	Doug Safford	1624288	602-378-4002	550 S. Tryon St. 6th Fl.	safford@wellsfargo.com	Primary Dealer	
		CRD # 42568	Brian Warden	3232888	602-378-6677	Charlotte, NC 28202	brian.warden@wellsfargo.com	