

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	jtartiti@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@aslap.com jim.levenson@alcap.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	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 Bjuersten Sean McGuire	2497396 6973489	415-263-3370	745 7th Avenue New York, NY 10019	peter.bjuersten@barclays.com	Primary Dealer
7 BMO Capital Markets CRD # 16686	Shawn Oxenham Bill Pilsbury Paul Montaquila	4058498 5216534 2187454	415-591-2107 514-591-2110 415-591-2106	151 West 42 Street New York, NY 10036	shawn.oxenham@bmo.com William.pilsbury@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	Andrew Davidoff Susan Munson	1121622 2009836	949-508-1136 949-754-6403	110 East 59th Street 4th Floor New York, NY 10022	andreq.davidoff@cantor.com susan.munson@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.diawacm.com	Primary Dealer
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 pconnor@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

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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 James Voight	5789203 2447335 1286446	714-619-3000 714-619-3000 714-619-3000	151 Kalmus Drive Suite H-8 Costa Mesa, CA 92626	lbelfiore@greatpac.com cvinck@greatpac.com jvoight@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 Brittany Guinee Elizabeth Jaroncyk	6202270 6658144 5345147	212-834-7412 212-834-5718 212-272-6795	383 Madison Avenue New York, NY 10179	asher.j.joseph@jpmorgan.com brittany.guinee@jpmorgan.com elizabeth.a.jaronczyk@jpmorgan.com	Primary Dealer
22	KeyBanc Capital Markets CRD # 566	James Boyle Kenneth V Kauftheil Kelly Metheny	2961006 1301973 2886727	415-733-2460 415-733-2460 216-689-7167	1 California St. Suite 2400 San Francisco, CA 9411	jboyle@key.com ken.kauftheil@key.com kmetheny@key.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	John Tarpey	2008817	212-813-6002	55 Hudson Yards Floor 15 New York, NY 10001	itarpey@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@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	Justin C. Baker Russel C. Kwok Richard J. Duffy	4938937 4858963 2059442	213-486-8883 213-486-8889 213-486-8828	1585 Broadway New York, NY 10036	justin.baker@morganstanley.com russell.kwok@morganstanley.com richard.duffy@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 Joseph Notaro Damon Allen Jonathan Wyson Darren Austin	4417625 4703068 2679580 5072335 4672704	203-897-2800 203-897-2800 203-897-2828 203-897-2828 202-897-2828	600 Washington Boulevard 7th Floor Stamford, CT 06901	peter.murphy@natwestmarkets.com joseph.notaro@natwestmarkets.com damon.allen@natwestmarkets.com jonathan.wyson@natwestmarkets.com darren.austin@natwestmarkets.com	Primary Dealer Active Approved for REPO

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31 Oppenheimer & Co. CRD # 249	Bezzhad Mansouri Pierre Watiez	2362291 4116027	212-667-5095 212-667-5095	85 Broad Street New York, NY 10004	behzad.mansour@opco.com pierre.watiez@opco.com	Secondary Dealer
32 Piper Sanders & Co. CRD # 665	Victor Ume-ukeje Jane Fielding	1512919 2503145	415-616-1662 415-616-1681	50 California Street Suite 3100 San Francisco, CA 9411	victor.ume-ukeje@psc.com jane.fielding@psc.com	Secondary Dealer
33 R. Seelaus & Co. CRD # 14974	Benjamin Seelaus Timothy Paster Jeffrey Fegenwinter Vincent Sottile	4621898 4227985 1799286 1297727	908-273-3011 908-273-3012 908-273-3012 908-273-3012	26 Main Street Suite 300 Chatham, NJ 07928	bseelaus@rseelaus.com tpaster@reeselaus.com jfeigenwinter@rseelaus.com vsottile@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 David Attanasio Cesar Del Pozo Ohn Choe John Di Schiavi	4133186 5485439 2649910 5023324 6334643 6206937	415-445-6351 212-858-7356 212-858-7276 212-519-8405 212-858-7393 212-618-3584	200 Vessey St. New York, NY 10281	eric.ajlouny@rbc.com eric.harounian@rbccm.com david.attanasio@rbccm.com cesar.delpozo@rbccm.com ohn.choe@rbccm.com john.dischiavi@rbccm.com	Primary Dealer Active Approved for REPO
36 Samuel A Ramirez & Co. CRD # 6963	Terence Ryan Greenawalt Aaron Brighenti	4374222 2769145	212-378-7137 212-248-0527	61 Broadway 29th Floor New York, NY 10006	ryan.greenawalt@ramirezco.com aaron.brighenti@ramirezco.com	Secondary Dealer
37 Siebert Williams Shank CRD # 42568	Charles McAteer David Coard	2250616 1633685	212-373-4265 212-830-4534	100 Wall Street 18th Floor New York, NY 10005	cmateer@siebertwilliams.com dcoard@siebertwilliams.com	Secondary Dealer
38 Stifel CRD # 4257945	Bill Blackwill Hilary Neiman	1554624 4458652	949-234-2349 312-759-1773	501 N Broadway St. Louis, MO 63102	blackwillb@stifel.com neimsh@stifel.com	Secondary Dealer
39 StoneX CRD # 45993	Lauren Pisauro Ali Selby	6199673 5175500	212-379-5589 212-379-5579	230 Park Avenue 10th Floor New York, NY 10169	lauren.pisauro@stonex.com ali.selby@stonex.com	Secondary Dealer
40 TD Securities CRD # 18476	Chanel Vicini Michael Kahn Jake Levine	5939418 2898658 6658551	212-827-7169 212-827-7123 212-827-2807	1 Vanderbilt Avenue New York, NY 10017	chanel.vicini@tdsecurities.com michael.kahn@tdsecurities.com jake.levine@tdsecurities.com	Primary Dealer
41 Wells Fargo Securities CRD # 126292	Katiana Siatras Travis McLaughlin	5028434 6351358	303-209-3838 402-670-3479	550 South Tryon Street 6th Floor Charlotte, NC 28202	katiana.siatras@wellsfargo.com travis.mclaughlin@wellsfargo.com	Primary Dealer