

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 <b>Academy Securities</b> 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	<a href="mailto:jtarditi@academysecurities.com">jtarditi@academysecurities.com</a> <a href="mailto:mmcquillen@academysecurities.com">mmcquillen@academysecurities.com</a> <a href="mailto:mdimeglio@academysecurities.com">mdimeglio@academysecurities.com</a> <a href="mailto:phackett@academysecurities.com">phackett@academysecurities.com</a>	Secondary Dealer
2 <b>Arbor Research &amp; Trading, LLC</b> CRD # 21313	Max Konzelman	4650920	847-756-3636	22333 Classic Court LakeBarrington, IL 60010	<a href="mailto:max.konzelman@arborresearch.com">max.konzelman@arborresearch.com</a>	Secondary Dealer
3 <b>ASL Capital Markets</b> CRD # 286115	Michael Weir Jim Levenson	2022699 1526632	203-3882956 203-3882959	600 Summer Street Suite 402 Stamford, CT 06901	<a href="mailto:michael.weir@aslcap.com">michael.weir@aslcap.com</a> <a href="mailto:Jim.levenson@alcap.com">Jim.levenson@alcap.com</a>	Primary Dealer
4 <b>Bancoft Capital</b> CRD # 290665	Steve M. Ivcic 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	<a href="mailto:sivcic@bancroft4vets.com">sivcic@bancroft4vets.com</a> <a href="mailto:hgsmith@bancroft4vets.com">hgsmith@bancroft4vets.com</a> <a href="mailto:sgress@bancroft4vets.com">sgress@bancroft4vets.com</a> <a href="mailto:kbaltra@bancroft4vets.com">kbaltra@bancroft4vets.com</a>	Secondary Dealer
5 <b>Bof A Securities Inc</b> CRD # 283942	Julia Erickson	1411581	312-234-4562	One Bryant Park New York, NY 10036	<a href="mailto:Julie.a.erickson@bofa.com">Julie.a.erickson@bofa.com</a>	Primary Dealer
6 <b>Barclays Capital</b> 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	<a href="mailto:matthew.woods@barclays.com">matthew.woods@barclays.com</a> <a href="mailto:ivan.shen@barclays.com">ivan.shen@barclays.com</a> <a href="mailto:benjamin.krisnky@baarclays.com">benjamin.krisnky@baarclays.com</a> <a href="mailto:alex.hazelton@barclays.com">alex.hazelton@barclays.com</a> <a href="mailto:manish.saraf@barclays.com">manish.saraf@barclays.com</a> <a href="mailto:frank.dugan@barclays.com">frank.dugan@barclays.com</a> <a href="mailto:romel.medina@barclays.com">romel.medina@barclays.com</a> <a href="mailto:doug.butman@barclays.com">doug.butman@barclays.com</a>	Primary Dealer
7 <b>BMO Capital Markets</b> CRD # 16686	Shawn Oxenham Bill Pilsbury Tony Pham	4058498 5216534 6179373	415-591-2107 514-591-2110 925-843-8807	151 West 42 Street New York, NY 10036	<a href="mailto:shawn.oxenham@bmo.com">shawn.oxenham@bmo.com</a> <a href="mailto:William.pilsbury@bmo.com">William.pilsbury@bmo.com</a> <a href="mailto:tony.pham@bmo.com">tony.pham@bmo.com</a>	Primary Dealer Active Approved for REPO
8 <b>BOK Financial Securities</b> 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	<a href="mailto:bmurry@bokf.com">bmurry@bokf.com</a> <a href="mailto:jclose@bokf.com">jclose@bokf.com</a> <a href="mailto:hbrown@bokf.com">hbrown@bokf.com</a> <a href="mailto:Zach.mills@bokf.com">Zach.mills@bokf.com</a>	Secondary Dealer
9 <b>Cabera Capital Markets</b> CRD # 10081	Steven Goff Ed O'Connor	5748679 2398152	205-422-3476 215-422-3481	227 W. Monroe Suite 3000 Chicago, IL 60606	<a href="mailto:sgoff@cabrereacapital.com">sgoff@cabrereacapital.com</a> <a href="mailto:eonnor@cabreracapital.com">eonnor@cabreracapital.com</a>	Secondary Dealer
10 <b>Cantor Fitzgerald</b> CRD # 134	Louis Gentilucci	1301605	484-531-5144	110 East 59th Street 4th Floor New York, NY 10022	<a href="mailto:LGentilucci@cantor.com">LGentilucci@cantor.com</a>	Primary Dealer
11 <b>Castleoak Securities</b> CRD # 125334	Matthew Middendorf Scott Rider	3133237 3168094	216-912-4641 212-6105584	200 Vessey St. 4th Floor New York, NY 10281	<a href="mailto:mmiddendorf@castleoaklp.com">mmiddendorf@castleoaklp.com</a> <a href="mailto:srider@castleoaklp.com">srider@castleoaklp.com</a>	Secondary Dealer
12 <b>CIBC Worls Markets Corp.</b> CRD # 630	Karyne D'Angelis Mendes	3277910	212-885-4773	300 Madison Avenue 5th Floor New York, NY 10017	<a href="mailto:karyne.dangelismendes@cibc.com">karyne.dangelismendes@cibc.com</a>	Secondary Dealer
13 <b>Daiwa Capitl Markets</b> CRD # 1576	Andres Tamayo Thomas Moore	4664829 1750761	415-955-8185 212-612-6200	Financial Square 32 Old Ship New York, NY 10005	<a href="mailto:andres.dandrestamayo@us.daiwacm.com">andres.dandrestamayo@us.daiwacm.com</a> <a href="mailto:thomas.moore@us.diawacm.com">thomas.moore@us.diawacm.com</a>	Primary Dealer
14 <b>Dexel Hamilton</b> CRD # 143570	Lynn Orenstein Patrick O'Connor	1938618 4527527	212-632-0413 646-412-1529	110 East 42 Steet Suite 1502	<a href="mailto:lorenstein@drexelhamilton.com">lorenstein@drexelhamilton.com</a> <a href="mailto:poconnor@drexelhamilton.com">poconnor@drexelhamilton.com</a>	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
		John C. Martinko	5286067	646-412-1511	New York, NY	<a href="mailto:jmartinko@drexelhamilton.com">jmartinko@drexelhamilton.com</a>	
15	<b>FHN Financials</b> CRD # 46346	Heather MacGregor	3099935	305-537-1776	The Main 201 Las Olas Blvd. Suite 1120 Fort Lauderdale, FL 33301	<a href="mailto:heather.macgregor@fhnfinancail.com">heather.macgregor@fhnfinancail.com</a>	Secondary Dealer
16	<b>Fifth Third Securities</b> CRD # 628	Thomas Short Deb Gellman	4262581 2012105	703-867-7494 646-216-4205	38 Fountain Square Plaza MD 10903p Cincinnati, OH 45202	<a href="mailto:thomas.short@53.com">thomas.short@53.com</a> <a href="mailto:deb.gellman@53.com">deb.gellman@53.com</a>	Secondary Dealer
17	<b>Great Pacific Securities</b> CRD # 29251	Leah Belfiore Christopher Vinck-Luna	5789203 2447335	714-619-3000 714-619-3000	151 Kalmus Drive Suite H-8 Costa Mesa, CA 92626	<a href="mailto:lbelfiore@greatpac.com">lbelfiore@greatpac.com</a> <a href="mailto:cvinck@greatpac.com">cvinck@greatpac.com</a>	Secondary Dealer
18	<b>HSBC Securities</b> CRD # 19585	Daniel J Wolff Carl Neuhaus	6650650 4222174	212-525-0200 212-525-0200	452 5th Avenue New York, NY 10018	<a href="mailto:daniel.x.wolff@us.hsbc.com">daniel.x.wolff@us.hsbc.com</a> <a href="mailto:carl.p.neuhaus@us.hsbc.com">carl.p.neuhaus@us.hsbc.com</a>	Primary Dealer
19	<b>InspereX LLC</b> 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	<a href="mailto:dlarsen@insperex.com">dlarsen@insperex.com</a> <a href="mailto:ipaetow@insperex.com">ipaetow@insperex.com</a> <a href="mailto:iberks@insperex.com">iberks@insperex.com</a>	Secondary Dealer
20	<b>Jefferies LLC</b> CRD # 2347	Scott Lewis Joseph Triolo	1697540 2765483	404-264-5056 212-284-2182	520 Madison Avenue New York, NY 10022	<a href="mailto:scott.lewis@jefferies.com">scott.lewis@jefferies.com</a> <a href="mailto:jtriolo@jefferies.com">jtriolo@jefferies.com</a>	Primary Dealer
21	<b>JP Morgan Securities</b> CRD # 079	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	<a href="mailto:asher.j.joseph@jpmorgan.com">asher.j.joseph@jpmorgan.com</a> <a href="mailto:elizabeth.a.jaronczyk@jpmorgan.com">elizabeth.a.jaronczyk@jpmorgan.com</a> <a href="mailto:james.p.marten@jpmorgan.com">james.p.marten@jpmorgan.com</a> <a href="mailto:bridget.k.schreiber@jpmorgan.com">bridget.k.schreiber@jpmorgan.com</a>	Primary Dealer
22	<b>KeyBanc Capital Markets</b> 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 94111	<a href="mailto:jboyle@key.com">jboyle@key.com</a> <a href="mailto:ken.kauftheil@key.com">ken.kauftheil@key.com</a> <a href="mailto:kmetheny@key.com">kmetheny@key.com</a>	Secondary Dealer
23	<b>Loop Capitl Markets</b> CRD # 43098	Eileen Piechocki Julie Karr Wade Watson Patrick Leary	1642606 1715239 5084410 4732978	312-913-4902 312-913-4942 312-913-2270 651-760-8124	111 W. Jackson Suite 1900 Chicago, IL 60604 Chicago, IL 60604	<a href="mailto:eileen.piechocki@loopcapital.com">eileen.piechocki@loopcapital.com</a> <a href="mailto:julie.karr@loopcapital.com">julie.karr@loopcapital.com</a> <a href="mailto:wade.watson@loopcapital.com">wade.watson@loopcapital.com</a> <a href="mailto:patrick.leary@loopcapital.com">patrick.leary@loopcapital.com</a>	Secondary Dealer
24	<b>MarketAxxess</b> CRD # 44542	Michael Higgins	4015641	212-813-6002	55 Hudson Yards Floor 15 New York, NY 10001	<a href="mailto:mhiggins@marketaxess.com">mhiggins@marketaxess.com</a>	Secondary Dealer
25	<b>Mesirow Financial Inc</b> CRD # 2764	George Barbar Rick Perez Glenn Edmonds	4557730 4241001 2444511	561-862-5353 561-862-5310 561-862-5306	353 North Clarck Street Chicago, IL 60654	<a href="mailto:george.baber@mesirow.com">george.baber@mesirow.com</a> <a href="mailto:rick.perez@mesirow.com">rick.perez@mesirow.com</a> <a href="mailto:glenn.edmonds@mesirow.com">glenn.edmonds@mesirow.com</a>	Secondary Dealer
26	<b>Mizuho Securities</b> CRD # 19647	Sean Smith Kyle Fetherolf	4038855 4417971	212-205-7540 212-205-7540	1271 Avenue of the Americas New York, NY 10020	<a href="mailto:sean.smith@mizuhogroup.com">sean.smith@mizuhogroup.com</a> <a href="mailto:kyle.fetherolf@mizuhogroup.com">kyle.fetherolf@mizuhogroup.com</a>	Primary Dealer
27	<b>Moreton Capital Markets</b> 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	<a href="mailto:mark.lewis@moretoncm.com">mark.lewis@moretoncm.com</a> <a href="mailto:larry@moretoncm.com">larry@moretoncm.com</a> <a href="mailto:ryan@moretoncm.com">ryan@moretoncm.com</a>	Secondary Dealer
28	<b>Morgan Stanley</b> CRD # 8209	Russel C. Kwok Richard J. Duffy Astin V. Pronio Tamara Djurdjevic	4858963 2059442 5540485 3206630	213-486-8889 213-486-8828 212-761-0051 312-706-4295	1585 Broadway New York, NY 10036	<a href="mailto:russell.kwok@morganstanley.com">russell.kwok@morganstanley.com</a> <a href="mailto:richard.duffy@morganstanley.com">richard.duffy@morganstanley.com</a> <a href="mailto:astin.pronio@morganstanley.com">astin.pronio@morganstanley.com</a> <a href="mailto:tamara.pavlovic@morganstanley.com">tamara.pavlovic@morganstanley.com</a>	Primary Dealer
29	<b>MUFG</b> CRD # 19685	John Cooke	4780593	212-405-7353	1221 Avenue of the Americas 6th Floor New York, NY 10020-1001	<a href="mailto:john.cooke@mufgsecurities.com">john.cooke@mufgsecurities.com</a>	Secondary Dealer
30	<b>NatWest Market Securities</b>	Peter Murphy	4417625	203-897-2800	600 Washington Boulevard	<a href="mailto:peter.murphy@natwestmarkets.com">peter.murphy@natwestmarkets.com</a>	Primary 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
CRD # 11707	Damon Allen Jonathan Wyson Darren Austin	2679580 5072335 4672704	203-897-2800 203-897-2828 203-897-2828	7th Floor Stamford, CT 06901	<a href="mailto:damon.allen@natwestmarkets.com">damon.allen@natwestmarkets.com</a> <a href="mailto:jonathan.wyson@natwestmarkets.com">jonathan.wyson@natwestmarkets.com</a> <a href="mailto:darren.austin@natwestmarkets.com">darren.austin@natwestmarkets.com</a>	Active Approved for REPO
31 <b>Oppenheimer &amp; Co.</b>	Pierre Watiez	4116027	212-667-5095	85 Broad Street	<a href="mailto:pierre.watiez@opco.com">pierre.watiez@opco.com</a>	Secondary Dealer
CRD # 249	Edward Cracchiolo	5272342	212-885-4908	New York, NY 10004	<a href="mailto:edward.cracchiolo@opco.com">edward.cracchiolo@opco.com</a>	
32 <b>Piper Sanders &amp; Co.</b>	Victor Ume-ukeje	1512919	415-616-1662	50 California Street	<a href="mailto:victor.ume-ukeje@psc.com">victor.ume-ukeje@psc.com</a>	Secondary Dealer
CRD # 665	Jane Fielding	2503145	415-616-1681	Suite 3100 San Francisco, CA 94111	<a href="mailto:jane.fielding@psc.com">jane.fielding@psc.com</a>	
33 <b>R. Seelaus &amp; Co.</b>	Benjamin Seelaus	4621898	908-273-3011	26 Main Street	<a href="mailto:bseelaus@rseelaus.com">bseelaus@rseelaus.com</a>	Secondary Dealer
CRD # 14974	Timothy Paster Jeffrey Fegenwinter Vincent Sottile Rich Singh Shannon Siwinski	4227985 1799286 1297727 4026418 2268762	908-273-3012 908-273-3012 908-273-3012 908-273-3011 908-273-3011	Suite 300 Chatham, NJ 07928	<a href="mailto:tpaster@reeslaus.com">tpaster@reeslaus.com</a> <a href="mailto:ifeigenwinter@rseelaus.com">ifeigenwinter@rseelaus.com</a> <a href="mailto:vsottile@rseelaus.com">vsottile@rseelaus.com</a> <a href="mailto:rsingh@rseelaus.com">rsingh@rseelaus.com</a> <a href="mailto:sswinski@rseelaus.com">sswinski@rseelaus.com</a>	
34 <b>Raymond James &amp; Associates</b>	Rosa Schulte	4414840	949-365-5850	880 Carillon Parkway	<a href="mailto:rosa.schulte@raymondjames.com">rosa.schulte@raymondjames.com</a>	Secondary Dealer
CRD # 705	Amy Iannella	1720777	303-200-1405	St. Petersburg, FL 33716	<a href="mailto:amy.iannella@raymondjames.com">amy.iannella@raymondjames.com</a>	
35 <b>RBC Capital Markets</b>	Eric Ajlouny	4133186	415-445-6351	200 Vessey St.	<a href="mailto:eric.ajlouny@rbc.com">eric.ajlouny@rbc.com</a>	Primary Dealer
CRD # 31194	Eric Harounian Cesar Del Pozo John Di Schiavi Mark Solis Griffin Steward	5485439 5023324 6206937 5343360 6973466	212-858-7356 212-519-8405 212-618-3584 415-4456360 212-618-2739	New York, NY 10281	<a href="mailto:eric.harounian@rbccm.com">eric.harounian@rbccm.com</a> <a href="mailto:cesar.delpozo@rbccm.com">cesar.delpozo@rbccm.com</a> <a href="mailto:john.dischiavi@rbccm.com">john.dischiavi@rbccm.com</a> <a href="mailto:mark.solis@rbc.com">mark.solis@rbc.com</a> <a href="mailto:griffin.stewart@rbccm.com">griffin.stewart@rbccm.com</a>	Active Approved for REPO
36 <b>Samuel A Ramirez &amp; Co.</b>	Terence Ryan Greenawalt	4374222	212-378-7137	61 Broadway	<a href="mailto:ryan.greenawalt@ramirezco.com">ryan.greenawalt@ramirezco.com</a>	Secondary Dealer
CRD # 6963			212-248-0527	29th Floor New York, NY 10006		
37 <b>Siebert Williams Shank</b>	Charles McAteer	2250616	212-373-4265	100 Wall Street	<a href="mailto:cmcateer@siebertwilliams.com">cmcateer@siebertwilliams.com</a>	Secondary Dealer
CRD # 42568	David Coard	1633685	212-830-4534	18th Floor New York, NY 10005	<a href="mailto:dcoard@siebertwilliams.com">dcoard@siebertwilliams.com</a>	
38 <b>Stifel</b>	Bill Blackwill	1554624	949-234-2349	501 N Broadway	<a href="mailto:blackwillb@stifel.com">blackwillb@stifel.com</a>	Secondary Dealer
CRD # 4257945	Hilary Neiman	4458652	312-759-1773	St. Louis, MO 63102	<a href="mailto:neimsh@stifel.com">neimsh@stifel.com</a>	
39 <b>StoneX</b>	Lauren Pisauro	6199673	212-379-5589	230 Park Avenue	<a href="mailto:lauren.pisauro@stonex.com">lauren.pisauro@stonex.com</a>	Secondary Dealer
CRD # 45993	Ali Selby B. Hunter Hill	5175500 5930475	212-379-5579 205-414-7310	10th Floor New York, NY 10169	<a href="mailto:ali.selby@stonex.com">ali.selby@stonex.com</a> <a href="mailto:hunter.hill@stonex.com">hunter.hill@stonex.com</a>	
40 <b>TD Securities</b>	Michael Kahn	2898658	212-827-7123	1 Vanderbilt Avenue	<a href="mailto:michael.kahn@tdsecurities.com">michael.kahn@tdsecurities.com</a>	Primary Dealer
CRD # 18476			212-827-2807	New York, NY 10017		
41 <b>Wells Fargo Securities</b>	Katiana Siatras	5028434	303-209-3838	550 South Tryon Street	<a href="mailto:katiana.siatras@wellsfargo.com">katiana.siatras@wellsfargo.com</a>	Primary Dealer
CRD # 126292	Travis McLaughlin Rodney Pettersen Ronnell Brown Daniel DiCamillo	6351358 4098544 6763301 5384152	402-670-3479 312-574-6452 704-410-4275 312-762-9049	6th Floor Charlotte, NC 28202	<a href="mailto:travis.mclaughlin@wellsfargo.com">travis.mclaughlin@wellsfargo.com</a> <a href="mailto:rodney.pettersen@wellsfargo.com">rodney.pettersen@wellsfargo.com</a> <a href="mailto:ronnell.brown@wellsfargo.com">ronnell.brown@wellsfargo.com</a> <a href="mailto:daniel.dicamillo@wellsfargo.com">daniel.dicamillo@wellsfargo.com</a>	