



# New Mexico State Treasurer's Office Broker Dealer Application

Fiscal Year 2026 -2027



**This application is to be completed by an authorized signer of the firm.**

### Contact Information:

Please provide the following information:

Name of Firm:	
Address of Firm:	
Main Phone #:	

### Manager/Partner in-charge:

Name :	
Title:	
Phone #:	
Email:	

### Compliance Officer or equivalent:

Name:	
Title:	
Phone #:	
Email:	

**Authorized Signer (If this application and the Campaign Contribution Disclosure Form for the firm will be signed by an authorized signer other than the individuals listed above, please provide the following):**

Name:	
Title:	
Phone #:	
Email:	

**Identify all personnel who will be executing trades with or providing quotes for investment security sales and purchases to STO employee. Please include a minimum of 2 broker-dealers representatives (for more that 4 personnel please include on a separate page:**

Name	CRD Registration #	Phone #	E-mail Address
1.			
2.			
3.			
4.			





# New Mexico State Treasurer's Office

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### Certification & Signatures:

I hereby certify that the above information is true and correct to the best of my knowledge and that the firm and the representatives meet the minimum qualifications set forth under the New Mexico State Treasurer’s Investment Policy and will comply with Federal and State law.

Name of Firm: \_\_\_\_\_

Firm CRD #: \_\_\_\_\_

Print Name/Title: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

As representative(s) the firm I (we) hereby certify that the above information is true and correct to the best of my (our) knowledge and that I (we) meet the minimum qualifications set forth under the New Mexico State Treasurer’s Investment Policy and New Mexico Law.

Name	Signature	Date

### Responses and Deadline

Completed Application Packages can be submitted via email to [Frank.Nichol@sto.nm.gov](mailto:Frank.Nichol@sto.nm.gov) and are due by **5/05/2025**. Please note that incomplete packages and those received after 5/14/2025 may not be considered.

- A completed Application Form Including the signatures of each representative listed on the application and a signed by an authorized signer of the firm
- One copy of the Campaign Contribution Disclosure Form for the firm signed by an authorized signer of the firm
- Separate copies of the Campaign Contributin Disclosure Form sign by each representative listed on the application
- One copy of the Acknowledgement and Certification Form for the firm signed by an authorized signer of the firm
- Separate copies of the Acknowledgement and Certification Form sign by each representative listed on the application