



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.			





Representative Disclosure:

- Have your firm's representatives read STO's investment policy and do they fully understand the implications of STO's risk objectives concerning safety, liquidity and yield, in that order? If additional space is needed, please attach a supplemental document. Yes No
- 2. Please outline any security related violations with regard to specific personnel at your organization who will be directly involved with STO's business activity. If additional space is needed, please attach a supplemental document.
- 3. If your firm is selected all representatives or supporting staff must be registered pursuant to the New Mexico Uniform Securities Act or will be registered within thirty (30) days.
- 4. The New Mexico State Treasurer's Office does invest cash derived from bond proceeds and does not retain an Independent Registered Municipal Advisor (IRMA). If your firm requires the retention of an IRMA to conduct investment related transactions for accounts that contain bond proceeds, the New Mexico State Treasurer's Office will not be able to comply.

Agreement and Acknowledgement of Information:

Pursuant to the New Mexico State Treasurer's Investment Policy dated December 17, 2019 all firms and assigned representatives must meet the following minimum qualifications:

- The Firm and assigned representatives must be registered pursuant to NMSA 1978§58-13C-101 through 58-13C-701(2009).
- The Firm must be registered as a dealer under the Securities Exchange Act of 1934;
- The Firm must be registered with the Financial Industry Regulatory Authority (FINRA);
- The Firm must have been engaged in the fixed income securities business for at least the past five (5) consecutive years;
- All representatives listed must have a current FINRA Series 7 License;
- Copies of the Campaign Contribution Disclosure form must be signed by an authorized signer on behalf of the firm and by each representative;



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 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 Applcation Form Including the signatures of each represenative 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 Separte copies of the Campaign Contributin Disclosure Form sign by each representative listed
	on the application One copy of the Acknowlegement and Certification Form for the firm signed by an authorized
_	signer of the firm Separte copies of the Acknowlegement and Certification Form sign by each representative listed
	on the application