



Santa Fe County Treasurer's Office

2013 / 2014

Broker/ Dealer List



FIRM	CONTACT	CRD#	PHONE	ADDRESS	E-MAIL
BOSC, Inc.	Thomas "Tom" Hayes	1572344	505-222-8471 866-746-2550	201 Third Street NW, 14th Floor Albuquerque, NM 87125	thayes@bokf.com www.bankofalbuquerque.com
Cantor Fitzgerald & Co.	Kathryn Rea	6115977	901-347-1726 901-246-3124	110 East 59th Street, 4th Floor New York, NY 10022	krea@cantor.com www.cantor.com
Charles Schwab	Eric Loucks	727289	505-661-2250 505-695-5113	LANB 1200 Trinity Drive Los Alamos, NM 87544	eric@lanb.com www.schwab.com
Mutual Securities, INC.	Rene Molina	1322709	949-715-5515x21 866-899-5544	220 Park Ave. Suite 1 Laguna Beach, CA 92651	rene.molina@mutualsecurities.com www.mutualsecurities.com
Piper Jaffray	Victor Ume-ukeje	1512919	415-616-1662 800-774-8488	345 California Street, Suite 2300 San Francisco, CA 94104	victor.e.ume-ukeje@pic.com www.piperjaffray.com
Shearson Financial Services, LLC	Robert Hirsch	1721702	281-392-2310 888-890-6626	6750 West Loop South, Suite 235 Bellaire, TX 77401	bhirsch4@bloomberg.net bhirsch@shearsonllc.com
Sterne Agee	Brandon Westbrook	4066180	901-489-2262 901-271-8878 888-708-9963	1715 Aaron Brenner Drive, Suite 103 Memphis, TN 38120	bwestbrook@sterneagee.com www.sterneagee.com
Vining Sparks	Keith M. Parker	2524442	800-786-1244 901-762-5824	775 Ridge Lake Blvd. TN 381201	Memphis, kparker@viningsparks.com www.viningsparks.com

Wells Fargo Securities, LLC	Larry Lundberg	4500324	801-246-1743 801-860-9146 800-574-6634	Wells Fargo Securities, LLC 299 South Main, 5th Floor Salt Lake City, UT 84111	larry.lundberg@wellsfargo.com www.wellsfargo.com
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