

**GENERAL MEETING OF THE BOARD OF DIRECTORS  
OF THE  
CENTRAL TEXAS REGIONAL MOBILITY AUTHORITY**

**RESOLUTION NO. 14-048**

**APPROVING THE FINANCIAL INSTITUTIONS AND BROKERS AUTHORIZED  
TO PROVIDE INVESTMENT SERVICES TO THE MOBILITY AUTHORITY  
FOR FISCAL YEAR 2015.**

WHEREAS, Article 1 (Investment Policy), Chapter 2 (Finances) of the Policy Code establishes the Mobility Authority's investment policy in compliance with the Texas Public Funds Investment Act, Chapter 2256 of the Texas Government Code; and

WHEREAS, Sec. 201.011 of the Policy Code provides that "qualified brokers authorized to provide investment services and engage in investment transactions with the authority" shall be approved by a separate resolution adopted by the Board of Directors; and

WHEREAS, the most recent and current list of brokers authorized by the Board of Directors is included as Exhibit 1 to Resolution No. 13-006, dated January 30, 2013; and

WHEREAS, the Executive Director, Chief Financial Officer, and Controller recommend that the Board keep the same list of authorized brokers that were approved through Resolution Number 13-006 and shown on the list of Authorized Investment Brokers attached as Exhibit 1 to this resolution.

NOW, THEREFORE, BE IT RESOLVED that the firms identified on the list of Authorized Investment Brokers attached as Exhibit 1 are hereby authorized to provide investment services and engage in investment transactions with the Mobility Authority.

Adopted by the Board of Directors of the Central Texas Regional Mobility Authority on the 25<sup>th</sup> day of June, 2014.

Submitted and reviewed by:



Andrew Martin  
General Counsel for the Central  
Texas Regional Mobility Authority

Approved:



Ray A. Wilkerson  
Chairman, Board of Directors  
Resolution Number: 14-048  
Date Passed: 6/25/14

**EXHIBIT 1 TO RESOLUTION 14-048**

**AUTHORIZED INVESTMENT BROKERS**

Coastal Securities  
206 Wild Basin Road, Suite 109  
Austin, Texas 78746

JPMorgan Chase Securities, Inc.  
1717 Main Street, Lower Level 1  
Dallas, TX 75201

Sterne, Agee & Leach Institutional Group  
6408 Bannington Drive  
Charlotte, NC 28226

Gilford Securities Incorporated  
777 Third Avenue  
New York, NY 10017

First Allied Securities, Inc.  
655 West Broadway, 12<sup>th</sup> Floor  
San Diego, CA 92101

First Empire Securities  
100 Motor Parkway, 2<sup>nd</sup> Floor  
Hauppauge, NY 11788

First Southwest Company  
325 North Saint Paul, 8th Floor  
Dallas, TX 75201

BB&T Capital Markets  
2 South 9th Street  
Richmond, VA 23219

Bank of America Securities  
One Bryant Park, 4th Floor  
New York, NY 10036

Morgan Asset Management (Regions Bank)  
500 North Akard Street, Ste. 100  
Dallas, TX 75201

Regions Bank  
100 Congress Avenue  
Austin, TX 78701

Alamo Capital  
201 N. Civic Dr, Suite 145  
Walnut Creek, CA 94596