

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

**RESOLUTION NO. 15-037**

**APPROVING FINANCIAL INSTITUTIONS AND QUALIFIED BROKERS  
AUTHORIZED TO PROVIDE INVESTMENT SERVICES AND ENGAGE IN  
INVESTMENT TRANSACTIONS WITH THE MOBILITY AUTHORITY.**

WHEREAS, Article 1 of Chapter 2 of the Policy Code establishes the Mobility Authority's investment policy and strategy under the Texas Public Funds Investment Act, Chapter 2256 of the Texas Government Code; and

WHEREAS, Sec. 201.011 of the Policy Code provides that "financial institutions and 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 current list of authorized financial institutions and qualified brokers was established by Resolution No. 14-062, dated September 24, 2014; and

WHEREAS, the Executive Director and Chief Financial Officer recommend that the Board approve the financial institutions and qualified brokers listed on Exhibit 1 to this resolution, which is identical to the list of financial institutions and qualified brokers approved by Resolution No. 14-062.

NOW, THEREFORE, BE IT RESOLVED that the firms listed on Exhibit 1 to this resolution 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 1<sup>st</sup> day of July, 2015.

Submitted and reviewed by:



Andrew Martin, General Counsel

Approved:



Ray A. Wilkerson  
Chairman, Board of Directors

**EXHIBIT 1 TO RESOLUTION 15-038**

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

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

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

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 Drive, Suite 145  
Walnut Creek, CA 94596

Oppenheimer & Co. Inc.  
85 Broad Street, 22<sup>nd</sup> Floor  
New York, NY 10004

Multi-Bank Securities, Inc.  
1000 Town Center #2300  
Southfield, MI 48075

Stifel, Nicolaus & Company, Inc.  
6075 Poplar Avenue, Suite 628  
Memphis, TN 38119