

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

RESOLUTION NO. 20-092

**AUTHORIZING MISCHLER FINANCIAL GROUP, INC. TO PROVIDE
INVESTMENT SERVICES AND ENGAGE IN INVESTMENT TRANSACTIONS
WITH THE MOBILITY AUTHORITY**

WHEREAS, on or about November 18, 2020, Mischler Financial Group, Inc. submitted an application to the Chief Financial Officer to be added to the list of firms authorized to provide investment services and engage in investment transactions with the Central Texas Mobility Authority (Mobility Authority); and

WHEREAS, Section 201.011(a) of the Mobility Authority Policy Code (Policy Code) provides that financial institutions and qualified brokers authorized to provide investment services and engage in investment transactions with the Mobility Authority shall be approved by a separate resolution adopted by the Board; and

WHEREAS, Section 201.011(b) – (d) of the Policy Code sets forth the requirements to become authorized to provide investment services and engage in investment transactions with the Mobility Authority; and

WHEREAS, the Executive Director and Chief Financial Officer have reviewed Mischler Financial Group, Inc.'s application, and have concluded that the firm meets the requirements of Policy Code 201.011 and is qualified to provide such services; and

WHEREAS, the Executive Director and Chief Financial Officer recommend that Mischler Financial Group, Inc. be authorized to provide investment services and engage in investment transactions with the Mobility Authority.

NOW, THEREFORE, BE IT RESOLVED that the Board hereby authorizes Mischler Financial Group, Inc. 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 16th day of December 2020.

Submitted and reviewed by:

Approved:


Geoff Petrov (Dec 16, 2020 11:48 CST)

Geoff Petrov, General Counsel


Robert W Jenkins Jr (Dec 16, 2020 11:41 CST)

Robert W. Jenkins, Jr.
Chair, Board of Directors

Exhibit A

Authorized Investment Broker Dealers and Financial Institutions

Alamo Capital (Wes Hall)
201 N. Civic Dr, Suite 145
Walnut Creek, CA 94596

FHN Financial Capital Markets (John Saragusa)
206 Wild Basin Road, Suite 109
Austin, Texas 78746

Great Pacific Securities (Garrett NG)
151 Kalmus Drive, Suite H-8
Costa Mesa, CA 92626

Ladenburg Thalmann & Co.
2020 Main Street, Suite 650
Irvine, California 92614

Oppenheimer & Co. Inc. (Paul Sullivan/Chris Sullivan)
85 Broad Street, 22nd Floor
New York, NY 10004

Rice Financial Products company (Jared Fragin)
55 Broad Street, 27th Floor
New York, NY 10004

Vining Sparks IBG, L.P. (Josh Gorham)
775 Ridge Lake Boulevard
Memphis, TN 38120

Mischler Financial Group, Inc. (Steve Neri)
1111 Bayside Drive, Suite 100
Corona del Mar, CA 92625