



**CENTRAL TEXAS
Regional Mobility Authority**

AGENDA ITEM #9 SUMMARY

Approve the list of financial institutions and qualified brokers authorized to provide investment services and engage in investment transactions with the Mobility Authority.

Strategic Plan Relevance:	Regional Mobility
Department:	Finance
Associated Costs:	None
Funding Source:	N/A
Board Action Required:	Yes

Description of Matter: Article 1 of Chapter 2 of the Mobility Authority Policy Code is adopted to comply with the Texas Public Funds Investment Act, Chapter 2256 of the Texas Government Code. 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 separate resolution of the Board of Directors. Section 2256.025 of the Texas Government Code requires the Board to review and approve the list of qualified brokers at least annually. This item complies with the requirement established by the Policy Code and state law that the Board, at least annually, adopt a list of financial institutions and qualified brokers authorized to provide investment services and engage in investment transactions with the Mobility Authority.

The recommended list does not add to or delete any firm from the list approved by Resolution No. 14-062, adopted September 24, 2014.

Reference documentation: Draft Resolution, including Exhibit 1 (Authorized Financial Institutions and Investment Brokers)

Contact for further information: Bill Chapman, Chief Financial Officer

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

RESOLUTION NO. 15-___

**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 1st day of July, 2015.

Submitted and reviewed by:

Approved:

Andrew Martin, General Counsel

Ray A. Wilkerson
Chairman, Board of Directors

EXHIBIT 1 TO RESOLUTION 15-

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, 12th Floor
San Diego, CA 92101

First Empire Securities
100 Motor Parkway, 2nd 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, 22nd 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