



CENTRAL TEXAS REGIONAL  
**MOBILITY AUTHORITY**

December 16, 2020  
**AGENDA ITEM #7**

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Authorize Mischler Financial Group, Inc. to  
provide investment services and engage in  
investment transactions with the Mobility  
Authority

Strategic Plan Relevance: Regional Mobility  
Department: Finance  
Contact: Bill Chapman, Chief Financial Officer  
Associated Costs: N/A  
Funding Source: N/A  
Action Requested: Consider and act on draft resolution

**Background** -In April 2020, the Board conducted its annual review of the financial institutions and qualified brokers authorized to provide investment services and engage in investment transactions with the Mobility Authority. In November 2020, the Mischler Financial Group, Inc. submitted an application to be added to the Mobility Authority's list of authorized financial institutions and investment brokers.

**Action requested/Staff Recommendation** - Staff recommends approving the addition of one new firm, the Mischler Financial Group, Inc., to the list of authorized financial institutions and investment brokers included in the backup.

Backup provided: Draft Resolution  
List of authorized financial institutions and investment brokers

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

**RESOLUTION NO. 20-0XX**

**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 16<sup>th</sup> day of December 2020.

Submitted and reviewed by:

Approved:

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Geoff Petrov, General Counsel

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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, 22<sup>nd</sup> Floor  
New York, NY 10004

Rice Financial Products company (Jared Fragin)  
55 Broad Street, 27<sup>th</sup> 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