



**CENTRAL TEXAS
Regional Mobility Authority**

AGENDA ITEM #9 SUMMARY

Approve an updated list of brokers authorized to provide investment services to the Mobility Authority.

Strategic Plan Relevance: Regional Mobility

Department: Finance

Associated Costs: None

Funding Source: N/A

Board Action Required: Yes

Description of Matter:

The Mobility Authority's Investment Policy, codified as Article 1 (Investment Policy), Chapter 2 (Finances) of the 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 "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.

This item adds one additional firm to the Mobility Authority's current list of authorized brokers.

Reference documentation: Updated List of Authorized Investment Brokers
Draft Resolution

Contact for further information: Bill Chapman, Chief Financial Officer
Cindy Demers, Controller

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

RESOLUTION NO. 13-___

**APPROVING AN UPDATED LIST OF BROKERS AUTHORIZED TO PROVIDE
INVESTMENT SERVICES TO THE MOBILITY AUTHORITY.**

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 Attachment B to Resolution No. 12-030, dated April 25, 2012; and

WHEREAS, the Executive Director, Chief Financial Officer, and Controller recommend that the Board update and restate the list of authorized brokers to include the firms shown on the list of Authorized Investment Brokers attached as Exhibit 1.

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 30th day of January, 2013.

Submitted and reviewed by:

Approved:

Andrew Martin
General Counsel for the Central
Texas Regional Mobility Authority

Ray A. Wilkerson
Chairman, Board of Directors
Resolution Number: 13-___
Date Passed: 01/30/13

EXHIBIT 1 TO RESOLUTION 13-
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, 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

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