

**RESOLUTION NO. \_\_\_\_\_**

**A RESOLUTION OF THE CITY COUNCIL OF THE TOWN OF ADDISON, TEXAS APPROVING BROKERS, DEALERS, AND FINANCIAL INSTITUTIONS TO CONDUCT INVESTMENT TRANSACTIONS FOR FISCAL YEAR 2020-2021; PROVIDING AN EFFECTIVE DATE.**

**WHEREAS**, the City's adopted investment policy states the City Council shall, at least annually, review, revisit and adopt the list of qualified broker/dealers and financial institutions which are authorized to engage in investment transactions with the City; and

**WHEREAS**, the City staff, in the best interest of the City, no longer contracts with an investment advisor and manages the investment of City funds internally; and

**WHEREAS**, City staff has received and reviewed all documentation required by the adopted Fiscal Year 2020-2021 investment policy for each broker, dealer, and financial institution.

**NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE TOWN OF ADDISON TEXAS:**

**SECTION 1.** The recitals set forth above are true and correct and are incorporated as if fully set forth herein.

**SECTION 2.** The City Council does hereby adopt and approve the list of qualified brokers, dealers, and financial institutions for Fiscal Year 2020-2021, attached hereto as **Exhibit A** and incorporated herein.

**SECTION 3.** This Resolution shall take effect upon its passage and approval.

**DULY RESOLVED AND ADOPTED** by the City Council of the Town of Addison, Texas, on this the **13<sup>th</sup>** day of **APRIL** 2021.

**TOWN OF ADDISON, TEXAS**

\_\_\_\_\_  
Joe Chow, Mayor

**ATTEST:**

**APPROVED AS TO FORM:**

\_\_\_\_\_  
Irma Parker, City Secretary

\_\_\_\_\_  
City Attorney

## Exhibit A

### Authorized Broker/Dealer/Financial Institutions/Banks/Investment Pools

Comerica Securities, Inc. 39400 Woodward Avenue Suite 255, MC: 7951 Bloomfield Hills, MI 48304	Chris Theut Senior Vice President	(248) 645-4173	<a href="mailto:ctheut@comerica.com">ctheut@comerica.com</a>
	Kyle Rademaker Vice President	(248) 645-4171	<a href="mailto:ksrademaker@comerica.com">ksrademaker@comerica.com</a>
FHN Financial Capital Markets 920 Memorial City Way 11 <sup>th</sup> Floor Houston, TX 77024	John Buddy Saragusa Vice President	(713) 435-4475	<a href="mailto:buddy_saragusa@fhnfinancial.com">buddy_saragusa@fhnfinancial.com</a>
	Zach Brewer Senior Vice President	(817) 471-7646 C (713) 435-4351 (281) 642-4350 C	<a href="mailto:zach.brewer@fhnfinancial.com">zach.brewer@fhnfinancial.com</a>
Hilltop Securities Inc. 1201 Elm Street Suite 3500 Dallas, TX 75270	Gilbert Ramon Vice President	(713) 654-8606 (713) 724-4178 C	<a href="mailto:gilbert.ramon@hilltopsecurities.com">gilbert.ramon@hilltopsecurities.com</a>
Stifel Nicolaus & Co., Inc. 100 Motor Parkway 2 <sup>nd</sup> Floor Hauppauge, NY 11788	Luke Donenfeld Director of Sales	(631) 656-4471 (917) 846-8398 C	<a href="mailto:ldonenfeld@stifel.com">ldonenfeld@stifel.com</a>
	Mark Davidoff Managing Director		<a href="mailto:mdavidoff@stifel.com">mdavidoff@stifel.com</a>
The Baker Group 1601 NW Expressway 20 <sup>th</sup> Floor Oklahoma City, OK 73118	Rick Hansing Managing Director	(405) 415-7237 (800) 998-8392	<a href="mailto:rick@gobaker.com">rick@gobaker.com</a>
Vining-Sparks IBG, L.P. 775 Ridge Lake Boulevard 2 <sup>nd</sup> Floor Memphis, TN 38120	Anthony Nelson Senior Vice President	(206) 443-7256 (800) 357-0256	<a href="mailto:Anelson@viningsparks.com">Anelson@viningsparks.com</a>
	Demetri Patikas Director of Sales		<a href="mailto:dpatikas@viningsparks.com">dpatikas@viningsparks.com</a>
Wells Fargo Securities, LLC 1445 Ross Avenue Suite 210 Dallas, TX 75202	Susan Ward Sales Representative	(214) 740-1586	<a href="mailto:wardst@wellsfargo.com">wardst@wellsfargo.com</a>
	Pamela Steuben Sales Assistant	(214) 777-4078	<a href="mailto:pamela.K.Steuben@wellsfargo.com">pamela.K.Steuben@wellsfargo.com</a>
East West Bank 9090 Katy Freeway 3 <sup>rd</sup> Floor Houston, TX 77024	Jia Li Client Service Lead	(832) 973-8934 (281) 386-1889 C	<a href="mailto:jia.li@eastwestbank.com">jia.li@eastwestbank.com</a>
	Esau C. Liu Senior Vice President	(832) 973-8938	<a href="mailto:esau.liu@eastwestbank.com">esau.liu@eastwestbank.com</a>
Texas Class 2435 N. Central Expressway Suite 1200 Richardson, TX 75080	Karen Proctor Regional Director	(214) 473-4224	<a href="mailto:karen.proctor@texasclass.com">karen.proctor@texasclass.com</a>
TexPool Participant Services 1001 Texas Avenue Suite 1400 Houston, TX 77002	Denise Hamala Unit Manager	(866) 839-7665	<a href="mailto:dhamala@federatedinv.com">dhamala@federatedinv.com</a>
TexSTAR/LOGIC 1201 Elm Street Suite 3500 Dallas, TX 75270	Mary Ann Dunda Managing Director	(214) 953-4086	<a href="mailto:maryann.dunda@hilltopsecurities.com">maryann.dunda@hilltopsecurities.com</a>