



**Budget Office**  
Fort Bend County, Texas

Pamela Gubbels  
Director of Finance & Investments

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**MEMORANDUM**

Date: March 2, 2011  
To: Members of Commissioners Court  
From: Pamela Gubbels, Director of Finance & Investments *PG*  
Subject: Authorized Broker/Dealer List

Section 2256.025 of the Public Funds Investment Act requires the governing body shall at least annually, review, revise, and adopt a list of qualified brokers that are authorized to engage in investment transactions with the entity. Attached is the list of authorized Broker/Dealers approved by Commissioners Court March 23, 2010. This past year, we did not engage in any investments outside the local government pools and the Money Markets at Prosperity Bank, our contract depository. However, we need to be ready should the opportunity arise. I recommend we approve the same list with the addition of Sterne, Agee & Leach, Inc. who meets Fort Bend County's qualifications. Please call me if you have any questions. Thank you.

## Broker/Dealer Information 2011

Company Name	Address	Attention	Title	Date	
				Approved	Update received
Amegy Bank of Texas	4400 Post Oak Parkway Houston, TX 77027	Blake Blinn	Vice President - Investment Division	3/23/2010	2/15/2011
Bank of America Securities, LLC	901 Main Street, Ste. 6350 Dallas, TX 75202-3714	Julia Erickson	Vice President	3/23/2010	2/25/2011
Coastal Securities, INC	5555 San Felipe Ste 2200 Houston, Tx 77056	Tony D Sekaly	Managing Director -Fixed Income Securities	3/23/2010	2/9/2011
Comerica Securities, Inc.	201 W. Fort St. 3rd Floor, MC:3089 Detroit, MI 48226	Chris Theut	Vice President Securities - Institutional	3/23/2010	2/15/2011
First Southwest Company	300 W 6th. Suite # 1940 Austin, TX 78701	Linda K Callaway- Gusnowski	Senior Vice President	3/23/2010	2/16/2011
Frost Bank	100 W. Houston San Antonio, TX 78205	Brad Johnson	Assistant Vice President - Capital Markets Division	3/23/2010	2/9/2011
Capital Market Division	22314 Fairbay Dr. Katy, TX 77450	Robert "Bob" Hirsch	Managing Director	3/23/2010	2/15/2011
LF Financial, LLC	2801 Via Fortuna, Ste. 650 Austin, TX 78746	Polly Moore	Managing Director	3/23/2010	2/22/2011
Morgan Keegan & Company, Inc	800 Nicollet Mall, Minneapolis, MN 55402	Tim Johnson	Managing Director, Institutional Sales	3/23/2010	2/22/2011
Piper Jaffray & Co.	208 S. LaSalle St., Suite 1338 Chicago, IL 60604	Carol Mackoff	Managing Director	3/23/2010	2/15/2011
Rice Securities, LLC dba Rice Financial Products Company	515 Madison Ave., 27th floor New York, NY 10022	Peter T. Melega	Sr. Vice President, Institutional Sales	3/23/2010	2/15/2011
Rockfleet Financial Services, Inc.	7465 Poplar Ave., Suite 234 Germantown, TN 38138	Andy Lamanna	Investment Officer	3/23/2010	2/22/2011
Vining Sparks IBG Lpdba Vining Sparks	811 Rusk, Suite 1725 Houston, TX 77002	Fenner "Reese" Weller III	Sr. VP of Institutional Sales	3/23/2010	2/22/2011
Weller Anderson & Co., LTD					
Sterne Agee & Leach, Inc.	6985 Union Park Center, Suite 285 Cottonwood Heights, UT 84093	Traci L. Salinas	Managing Director		NEW

# Broker/Dealer Evaluation

February 15, 2011

Company Name	Broker/Dealer Questionnaire	Anti-Collusion Statement	Affidavit for Business Organization	Master RPA	Delivery Instructions	Fin Statements	FINRA Cert	Tax SSC/ SEC	Proof of Ins	Compt of Currency Reg	References	Approved
Sterne Agee & Leach	yes	yes	yes	NA	yes	yes	yes	yes	yes	NA	yes	Yes