

Utah Money Management Council

350 N STATE STREET, SUITE 180
PO BOX 142315
SALT LAKE CITY, UTAH 84114-2315
TEL: (801) 538-1883
FAX: (801) 538-1465



A G E N D A

Interim Money Management Council meeting

August 21, 2024

Teleconference Via Google Meets

3:00 p.m.

Amended

A G E N D A

- 1.) THIS WILL BE A BRIEF MEETING TO APPROVE NEW CERTIFIED INVESTMENT ADVISER REPRESENTATIVES AND **CERTIFIED DEALERS.

Please Note: There will be a regular Money Management Council on September 19, 2024 @3:00 p.m.

**Note: All Council members will be in attendance via Google meets at:
meet.google.com/nfd-aijw-uyv
Join by phone
(US) +1 337-628-2091 PIN: 419 938 509#

The public is welcome to attend electronically.

K. Wayne Cushing, Chair
Salt Lake County
2001 South State Street N1-200
Salt Lake City, Utah 84114
Phone (385)-468-8305
kwcushing@slco.org

Corrie Forsling
Summit County
60 North Main Street
Coalville, Utah 84017
Phone (435)-336-3267
cforsling@summitcounty.org

Scott Burnett, Vice Chair
Raymond James Utah Branch
95 S State St Ste 2180
Salt Lake City, UT 84111
Phone (801)-736-6180
scott.r.burnet@raymondjames.com

Mark W. Packard
Central Bank
75 N University Ave.
Provo UT 84601
801-655-2153
packardm@cbutah.com

Chip Dawson
South Jordan City
1600 W. Towne Center Drive
South Jordan, UT 84095
801-253-5203 ext. 1381
cdawson@sjc.utah.gov



SPENCER J. COX
Governor

DEIDRE M. HENDERSON
Lieutenant Governor

UTAH DEPARTMENT OF COMMERCE

Division of Securities

MARGARET W. BUSSE
Executive Director

JASON STERZER
Division Director

TO: **Money Management Council**
FROM: **Michele Black, Division of Securities**
RE: **Deletions to the Certified Investment Adviser List**
DATE: **August 21, 2024**

The following agents and firms have been deleted to the existing list for conducting investment transactions with public treasures pursuant to rule 15 of the State Money Management Council.

Zions Capital Advisors, Inc.
Investment Adviser
Representatives:

Scott R. Burnett
Peter Kelson

Division of Securities

Heber M. Wells Building • 160 East 300 South • P.O. Box 146760, Salt Lake City, UT 84114-6741
www.securities.utah.gov • telephone (801) 530-6600 • fax (801) 530-6980



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UTAH DEPARTMENT OF COMMERCE

Division of Securities

MARGARET W. BUSSE
Executive Director

JASON STERZER
Division Director

TO: Money Management Council
FROM: Michele Black, Division of Securities
RE: Additions to the Certified Investment Adviser List
DATE: August 21, 2024

The following agents and firms have been added to the existing list for conducting investment transactions with public treasures pursuant to rule 15 of the State Money Management Council.

Raymond James & Associates, Inc.

Investment Adviser Representatives:

Scott R. Burnett
Peter Kelson

Zions Capital Advisors, Inc.

Investment Adviser Representatives:

Scott Kellner
Joseph Irvin
Anthony Valeri



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Division of Securities

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Division Director

TO: Money Management Council
FROM: Michele Black, Division of Securities
RE: Current List Certified Investment Adviser
DATE: August 21, 2024

The following is the list of Certified Investment Advisers and Investment Adviser Representative(s) effective August 21, 2024:

AllianceBernstein L.P.

Investment Adviser

Representatives: Cameron Cole

1400 16th Street, Ste 450
Denver, CO 80202

Richard T. Gatherum

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Herbert W. Moloney

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Joshua Moreland

“ “

Jared C. Van Moorleham

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Chandler Asset Management Inc.

Investment Adviser

Representatives: Jayson Schmitt

9255 Towne Centre Dr. Ste 600
San Diego, CA 92121

Alayne M. Sampson

“ “

Garcia Hamilton & Associates, L.P.

Investment Adviser

Representatives: Gilbert A. Garcia

1401 McKinney Street Ste 1600
Houston, TX 77010

Meeder Public Funds, Inc.

Investment Adviser

Representative: Gregory Balls

10655 Park Run Dr. #120
Las Vegas, NV 89144
6125 Memorial Drive
Dublin, OH 43017

John Jason Click

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Meeder Public Funds, Inc. cont.

Investment Adviser

Representatives: Tonya L. Dazzio
 Riley J. Littlefield
 Richard L. Phillips
 Benjamin Sehy
 Nick Vaccari

10655 Park Run Dr. #120
Las Vegas, NV 89144
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222 South Main St. 5th Fl.
Salt Lake City, UT 84101
6125 Memorial Drive
Dublin, OH 43017

Moreton Asset Management, LLC

Investment Adviser

Representatives: Jordan C. Hansen
 Andrew J. Robbins
 Daniel V. Rusk
 Jason M. Williams

40 North 100 East
Farmington, UT 84025
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PFM Asset Management LLC

Investment Adviser

Representatives: Joan Evans
 Benjamin Sapora
 Lukas Schneider
 Stefani VonHoltum-Niesent

1720 Carey Avenue, Suite 520
Cheyenne, WY 82001
950 17th Street
Mail Code: DN-CO-TS
Denver, CO 80202
1201 S. Alma School Road
Mail Code: LM-AZ-WADS
Mesa, AZ 85210
950 17th Street
Mail Code: DN-CO-T8
Denver, CO 80202

Raymond James & Associates, Inc.

Investment Adviser

Representatives: Stan J. Goodell
 Scott R. Burnett
 Peter Kelson

2750 E. Cottonwood Pkwy Ste 250
Cottonwood Heights, UT 84121-7289
95 S. State St. Ste 2180
Salt Lake City, UT 84111
" "

Soltis Investment Advisors, LLC

Investment Adviser

Representatives: Kim D. Anderson

20 North Main Street, Suite 400

Cabe Atkinson

St. George, UT 84770
915 South 500 East, #110
American Fork, UT 84003

Soltis Investment Advisors, LLC cont.

Investment Adviser

Representatives: Tyler J. Finlinson

Christie N. Krompel-Behunin

20 North Main Street, Suite 400
St. George, UT 84770
20 North Main Street, Suite 400
St. George, UT 84770

Brent D. Moore

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Clark V. Taylor

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William W. Wallace

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Tyler K. Wilkinson

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Shawn S. Woods

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U.S. Bancorp Asset Management, Inc.

Investment Adviser

Representatives: Kevin M. Breen

800 Nicollet Mall
Minneapolis, MN 55402-7020

Wells Fargo Clearing Services, LLC

Investment Adviser

Representatives: Christopher Ahearn

Daniel H. Payne

201 S. Main Street, Suite 160
Salt Lake City, UT 84111

Timothy Payne

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Christopher Soutas

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2455 Parleys Way, Suite 250

Salt Lake City, UT 84109

Zions Capital Advisors, Inc.

Investment Adviser

Representatives: Blake Bihm

2125 W. Davis Street

Conroe, TX 77304

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One S. Main Street, 12th Floor
Salt Lake City, UT 84133

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11622 El Camino Real

San Diego, CA 92130



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UTAH DEPARTMENT OF COMMERCE

Division of Securities

MARGARET W. BUSSE
Executive Director

JASON STERZER
Division Director

TO: Money Management Council
FROM: Michele Black, Division of Securities
RE: Additions to the Certified Dealer List
DATE: August 21, 2024

The following agents and firms have been added to the existing list for conducting investment transactions with public treasures pursuant to rule 16 of the State Money Management Council:

Morgan Stanley & Co. LLC

Agents:
Russell Kwok



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Division Director

TO: Money Management Council
FROM: Michele Black, Division of Securities
RE: Current List Certified Dealer
DATE: August 21, 2024

The following is the list of Certified Dealers and Agent(s) effective August 21, 2024.

Ameriprise Financial Services, LLC

Agents: Bradley T. Miller
Bruce Wingrove

7730 Union Park Ave. Ste 300
Midvale, UT 84047

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Bank of Montreal, Chicago Branch

Agents: Anthony Pham

1 Market Plaza, Spear Tower, Ste 1515
San Francisco, CA 94105

D.A. Davidson & Co.

Agents: Marcus Nield

251 S. 1350 W.
Farmington, UT 84025

Daiwa Capital Markets America

Agents: John Lomond
Andres Tamayo

555 California Street Ste. 4325
San Francisco, CA 94104-1503

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Deutsche Bank Securities Inc.

Agents: Michael Fisher
Jennifer Gray
Paul Miller

1 Columbus Circle
New York, NY 10019

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www.securities.utah.gov • telephone (801) 530-6600 • fax (801) 530-6980

Janney Montgomery Scott LLC

Agents: Brian J. Delany

1531 Willow Loop
Park City, UT 84098**Loop Capital Markets LLC**

Agents: William H. Money III

10445 S. Wasatch Blvd
Sandy, UT 84092**Moreton Capital Markets, LLC**

Agents: Benjamin Byington

101 South 200 East, Suite 300
Salt Lake City, UT 84111

Larry Lundberg

" "

Cory McKendrick

" "

Ryan Stoker

" "

Morgan Stanley & Co. LLC

Agents: Russell Kwok

1999 Avenue of the Stars, Ste 2400
Los Angeles, CA 90067**Raymond James & Associates, Inc.**

Agents: Amy Iannella

4643 S. Ulster Street, Suite 1350
Denver, CO 80237

Mark McKinnon

1676 N. Sonoran Drive
St. George, UT 84770**RBC Capital Markets, LLC**

Agents: Eric Ajlouny

1331 North California Boulevard, Suite 650
Walnut Creek, CA 94596

William L. Burton

401 Union Street, Suite 3600
Seattle, WA 98101

Scott Chappell

1260 Stringham Avenue Suite 300
Salt Lake City, UT 84106

John Hallgren

" "

Quinn Jensen

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John Menefee

2220 NW Labiche Lane

Michael Roskopf

Bend, OR 97703

Paul Schulte

608 Silver Spur Road Ste. 100
Rolling Hills Estate, CA 902741331 North California Boulevard Suite 650
Walnut Creek, CA 94596

Stifel, Nicolaus & Company, Incorporated

Agents: Dewey Anderson

Irving Vincent Boberski III

John Crandall

800 Shades Creek Parkway
Birmingham, AL 35209
200 W. Madison St., Ste 1960
Chicago, IL 60606
15 West South Temple Suite 1090
Salt Lake City, UT 84101

Wells Fargo Securities LLC

Agents: Scott Andrews

Michael Deep

Evan Faucher

Brandon Hodge

Gregory McMahon

Jonathan Stutts

Sarah A. Jacobson

David Vlacich

550 South Tryon Street 4th Fl.
Charlotte, NC 28202
550 South Tryon Street, 4th Fl.
Charlotte, NC 28202
550 South Tryon Street 4th Fl.
Charlotte, NC 28202
999 3rd Avenue 41st Floor
Seattle, WA 98104-4019
125 High Street 14th Fl.
Boston, MA 02110-2704
550 South Tryon Street 4th Fl.
Charlotte, NC 28202
999 3rd Avenue 41st Floor
Seattle, WA 98104-4019
125 High Street 14th Fl.
Boston, MA 02110-2704

Zions Bank Capital Markets

Agents: Jacqueline Davies

Jared Jess

Bradley Mayeda

Daniel Ricks

Ty Roberts

Jocelyn Sudweeks

Christopher Van Dam

One South Main Street, 17th Floor
Salt Lake City, UT 84133

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Zions Direct, Inc.

Agents: Jacqueline Davies

Jared Jess

Bradley Mayeda

Daniel Ricks

Ty Roberts

One South Main Street, 17th Floor
Salt Lake City, UT 84133

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Zions Direct, Inc. cont.

Agents: **Jocelyn Sudweeks**
 Christopher Van Dam

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